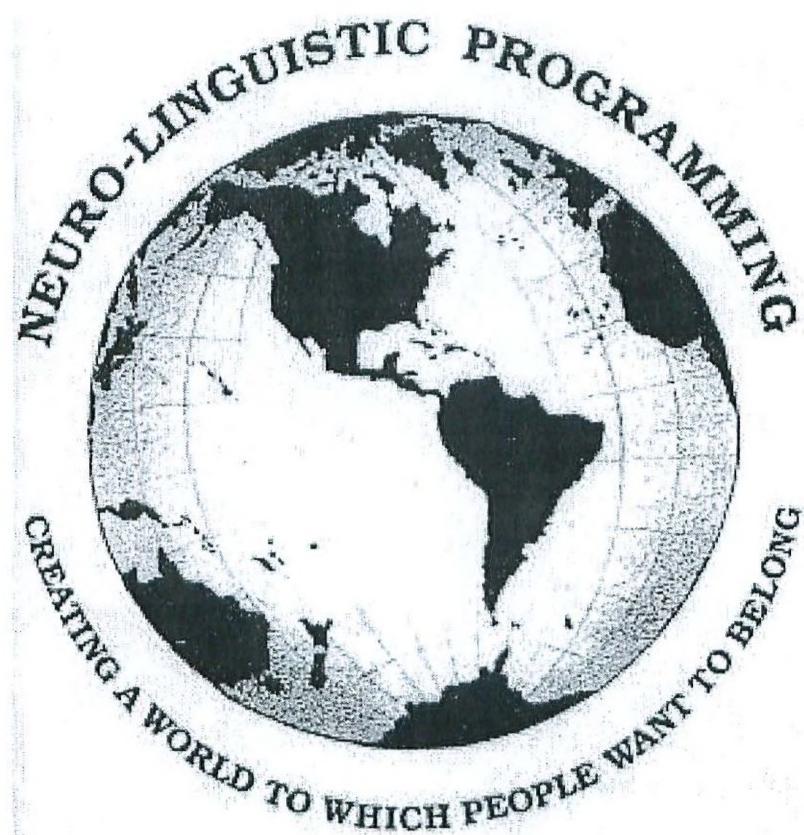


# **NLP University**

## **Santa Cruz Learning Community 2009**

**Robert Dilts ... Judith DeLozier**



**Dilts/NLP University Academy  
Global Training and Consulting Community**

***Creating a World to Which People Want to Belong***

# NLPU 100

## NLP Practitioner Certification Course

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**Dynamic Learning Publications/ NLP University Press  
P.O. Box 1112  
Ben Lomond, California 95005  
Telephone (831) 336-3457 Fax (831) 336-5854**

# NLP Practitioner Certification Course - NLPU 100

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## **NLP Practitioner Certification Course – NLPUC 100**

### **NLP University ‘Ground Rules’**

In general, be *responsible, respectful, creative and flexible.*

### **Seminar Etiquette:**

- Wear your name tag every day (new trainers will not know who you are).
- Bring your training manual every day.
- Everyone is expected to participate in all activities and be present at all sessions. If you intend to go for certification you are required to participate in all activities and be present at all sessions.
- If, for whatever reason, you have to miss a session, be late to a session or leave a session early, contact one of the trainers either directly or by a written message.
- Please, no smoking in the seminar room. Check for designated smoking areas outside the training rooms.
- Please ask fellow participants about smoking during exercises.

### **Be Responsible for Yourself**

- Be in charge of your own internal state. (Don’t wait for someone else to put you in a learning/resource state.)
- Pace yourself. When you are in an unfamiliar place for a long period of time, it can sometimes be destabilizing. Take actions (e.g., rituals, routines, etc.) that promote health and stability. There will be plenty of activities relating directly to NLP University studies. Avoid taking on too many extra activities (e.g., new diets, practices, etc.) that may distract you from your primary purpose learning NLP in an ecological fashion.
- If you feel emotionally upset or unsettled, seek advice from the trainers or resource people—but remember, trainers and resource people are here to support the training goals, not to be therapists.

### **Interacting with Fellow Participants**

*Enjoy the Diversity. Respect the Differences.*

- Remember, there are a lot of different models of the world, backgrounds, expectations and cultures represented at this seminar. If you have a concern or disagreement during the program, first try to work it out using NLP – i.e., rapport, meta position, spatial sorting, etc. Manifest NLP presuppositions.
- Pace first and then lead. Acknowledge the other person’s model & positive intent, then state your first position, owning your own model, intent, feelings, etc. (“*From my own perspective, I feel....*”).
- Respect confidentiality. Ask fellow participants for permission before you discuss content details of their experiences in class.
- Be respectful of the need for stability in others. Don’t push people to try things that may jeopardize their balance or ecology (either during or outside of seminar hours).
- Watch out for one another. Be attentive to signs of instability in fellow participants (e.g., not sleeping or eating properly). If you are concerned about the physical or mental well-being of a fellow participant, or the behavior of a fellow participant, report it to one of the resource people/trainers.
- Participants in an extended residential course often form very strong and intimate relationships with one another. Because of the instability that can surround such situations, however, we recommend that you wait until the program is over before pursuing romantic relationships with fellow participants.

## **Community Responsibilities**

A core criterion for systemic NLP is '*ecology*'. Please demonstrate respect for all elements of the system, including the University of California, students, staff and other conference groups. For example, picking up your coffee cups and putting your chairs in order at the end of the day is a way of taking responsibility for the training environment.

### *University Policies*

Our contract with the University of California requires that everyone to be responsible for their own food and lodging. Please respect these expectations. Use your own meal card. Empty beds or rooms may be reserved for other participants. The cleaning staff notices and reports if extra beds or rooms are being used.

Public alcohol consumption is not permitted by the University. There are many underaged and impressionable young people attending other programs during the Summer. Drinking is allowed in the privacy of your apartments.

### *Interacting with University of California Staff*

NLP University is being sponsored by the Dynamic Learning Center and is only using the facilities at the University of California campus. The people on the University of California staff are employed by the University of California not the Dynamic Learning Center/NLP University. Most of them are college students working for the Summer. They have very little organizational experience, knowledge or responsibility (remember, this is *not* a hotel). Young people are often very sensitive and impressionable and the University of California has very strict policies regarding sexual harassment. Please use maximum rapport skills.

### *Copyrights*

Please honor the copyrights on printed materials. It is a way of demonstrating integrity and showing respect for other people's work. We understand your desire for as much information as possible, but it is important to get it in an ecological way that doesn't infringe upon the rights of others. We will provide you with our policies regarding duplicating or reusing copyrighted materials. Please don't put your fellow participants in an awkward position by asking for copies of their materials.

We will be recording each training session. Audio tapes will be made available to the members of each course. Personal audio or video taping is not feasible during the training. Taking photographs during training sessions can disturb the trainers and other participants, and interfere with the continuity of the program. Therefore, we ask that you be respectful and reserve taking photographs for special occasions and appropriate times. Also, remember that not everyone is comfortable having their photograph taken.

## **Interacting with Teresa**

*When in doubt, ask Teresa.* Teresa's goal is to make you as comfortable as possible during your stay at this program.

Teresa handles all organizational questions – i.e., scheduling, housing, meals, places to go, purchasing books and materials, payments, receipts and all other financial matters.

Teresa is generally available in the mornings before the seminar starts, in the evenings immediately following the afternoon session. Please be mindful that she has many others to attend to in addition to you.

*When in doubt, write it down.*

## **Exercise Protocol**

Stay within the defined training area to do exercises (do not go to private rooms or out of sight of the training building). Keep all passageways and walkways clear (do not draw on them, or leave things on them—chairs, papers, stones, etc.).

NLPU exercises involve a combination of skill development and personal development. However, our primary focus is on skill development. Therefore, we highly recommend that you practice the steps of the various exercises and procedures as they have been given before making adaptations or variations. If you have a question or confusion about an exercise, a model, a technique, etc.:

- Ask one of the trainers or resource people
- Bring it up during an ‘open frame’ or study group
- Write it on a piece of paper and hand it to one of the trainers.

*When in doubt, write it down.*

## **Interacting with the Trainers**

The trainers want to be as open and available to all participants as possible. However, they will all be *very busy!* ***The trainers have no time available for individual client work.*** They have very limited time for meetings with individual participants. If you feel you have something important to talk about that cannot be handled by other Dynamic Learning Center staff then make a written proposal including the following information:

1. Topic:
2. Goal or Expected Outcomes
  - a. For Yourself:
  - b. For the Trainer(s):
3. Which Trainer(s):
4. How Long Do You Expect To Need To Meet:

*The trainers and resource people will not have any time available for private consultations or therapy. We would be happy to make referrals to local therapists.*

Many of the trainers are also authors, and we understand that you will want books signed. Because this can be distracting during the training period, please give any books that you want signed to Teresa and she will make the appropriate arrangements and return them to you.

## **Break Etiquette**

Remember, *everyone needs a break.* Generally, trainers and resource people will need to meet (‘huddle’) at the beginning of each break. Be respectful of their needs.

*When in doubt, write it down.*

## **Emergency Information:**

*Dominican Hospital*  
1555 Soquel Drive  
Santa Cruz, CA 95060

Emergency Room: 462-7710  
Mental Health Unit: 462-7719

*UCSC*  
Santa Cruz, CA 95064  
Health Center: 459-2211  
Campus Police: 459-2231  
Emergency: 459-2345

Marc Lehrer, PhD (Local Licensed Psychologist): 462-3089  
Michele Roush (Local Psychotherapist and NLP Master Practitioner): 479-9990 418-0055 (pager)

## **Overview of the Course**

This course will cover the essential “building blocks” of NLP. It includes the fundamental mental, linguistic and physical principles and patterns that make up the core of the technology and philosophy of Neuro-Linguistic Programming. The skills required to do NLP effectively and ecologically serve as a support for many different kinds of tasks, situations and contexts. The most effective process for actually acquiring or improving skills comes through experiential exercises which provide immediate feedback and are organized around what is known in NLP as the T.O.T.E. The assumption of the T.O.T.E. is that behavioral excellence is achieved through having 1) a fixed future goal, 2) sensory and behavioral evidence that indicates whether or not the goal is being achieved and 3) a range of operator procedures or choices with which to accomplish the goal.

### *Course Objectives*

The objective of the Basic NLP Skills Core Course are to provide learners with the key goals, evidence procedures and behavioral operations necessary to:

Recognize and Utilize Sensory Representational Systems and Submodalities.

Identify Sensory Based Predicates.

Detect Physiological Accessing Cues.

Calibrate Key Mental and Emotional States.

Establish and Maintain Rapport.

Uncover Deeper Structures of Language through Meta Model Patterns and Questions.

Establish Well-Formed Outcomes.

Develop Anchoring Skills.

Manage Personal States.

Elicit and Utilize Strategies of Excellence – R.O.L.E. Model and B.A.G.E.L. Model.

Reframe Problematic Behaviors by Finding Positive Intentions.

### **Practitioner Level Models**

T.O.T.E. Model

R.O.L.E. Model

B.A.G.E.L. Model

### **Practitioner Level Tools**

Contrastive Analysis

Anchoring

Reframing

### **Practitioner Level Outcomes**

Unconscious Competence

Ecology

Awareness

Discovery

Understand NLP Presuppositions

## Modeling

Modeling is the process of observing and mapping the key elements that produce a successful or remarkable performance of some type. The purpose of modeling is to create a pragmatic map or ‘model’ of some particular phenomenon that can be used to reproduce that phenomenon by anyone who is motivated to do so. The goal of the modeling process is to identify the essential elements of thinking and behavior required to create the desired response or outcome—i.e., discovering what is *the difference that makes a difference*. As opposed to identifying purely correlative statistical data, a model must provide a description of what is necessary and sufficient to actually achieve the goal.

### Overview of Modeling in NLP

Modeling involves taking a complex event or series of events and breaking it into small enough chunks that it can be repeated in a manageable way. The field of Neuro-Linguistic Programming has developed out of the modeling of human thinking skills. The NLP modeling process involves finding out about how the brain (“Neuro”) is operating by analyzing language patterns (“Linguistic”) and non-verbal communication. The results of this analysis are then put into step-by-step strategies or programs (“Programming”) that may be used transfer the skill to other people and content areas.

In fact, NLP began when Richard Bandler and John Grinder modeled patterns of language and behavior in the works of Fritz Perls (the founder of Gestalt therapy), Virginia Satir (a founder of family therapy and systemic therapy) and Milton H. Erickson, M.D. (founder of the American Society of Clinical Hypnosis). The first ‘techniques’ of NLP were derived from key verbal and non-verbal patterns Grinder and Bandler observed in the behavior of these exceptional therapists. The implication of the title of their first book, *The Structure of Magic*, was that what seemed magical and unexplainable often had a deeper structure that, when illuminated, could be understood, communicated and put into practice by people other than the few exceptional ‘wizards’ who had initially performed the ‘magic’. NLP is the process by which the relevant pieces of these people’s behavior was discovered and then organized together into a working model.

NLP has developed techniques and distinctions with which to identify and describe patterns of people’s verbal and non-verbal behavior – that is, key aspects of what people say and what they do. The basic objectives of NLP are to model special or exceptional abilities and help make them transferable to others. The purpose of this kind of modeling is to put what has been observed and described into action in a way that is productive and enriching.

The objective of the NLP modeling process is not to end up with the one ‘right’ or ‘true’ description of a particular person’s thinking process, but rather to make an instrumental map that allows us to apply the strategies that we have modeled in some useful way. An ‘instrumental map’ is one that allows us to act more effectively – the ‘accuracy’ or ‘reality’ of the map is less important than its ‘usefulness’. Thus, the instrumental application of the strategies that we have modeled from a particular individual or group of individuals involves putting them into structures that allow us to use them for some practical purpose. This purpose may be similar to or different from that for which the model initially used them.

For instance, some common applications of modeling include:

1. Understanding something better by developing more ‘meta-cognition’ about the processes which underlie it – in order to be able to teach about it for example.
2. Repeating or refining a performance (such as in a sport or a managerial situation) by specifying the steps followed by expert performers or during optimal examples of the activity. This is the essence of the ‘business process reengineering’ movement in organizations.
3. Achieving a specific result (such as effective spelling or the treatment of phobias or allergies). Rather than modeling a single individual, this is often accomplished by developing ‘techniques’ based on modeling a number of different successful examples or cases.
4. Extracting and/or formalizing a process in order to apply it to a different content or context. For example, an effective strategy for managing a sports team may be applied to managing a business, and vice versa. In a way the development of the ‘scientific method’ has come from this type of process, where strategies of observation and analysis that were developed for one area of study (such as physics) have been applied to other areas (such as biology).
5. Deriving an inspiration for something which is loosely based on the actual process of the model. Sir Arthur Conan Doyle’s portrayal of Sherlock Holmes which was based on the diagnostic methods of his medical school professor Joseph Bell is a good example of this.

## Logical Levels of Learning and Change

The concept of logical levels of learning and change was initially formulated as a mechanism in the behavioral sciences by Gregory Bateson, based on the work of Bertrand Russell in logic and mathematics (see Logical Types). The term *logical levels*, as it is used in NLP, was adapted from Bateson's work by Robert Dilts in the mid 1980's, and refers to a hierarchy of levels of processes within an individual or group. The function of each level is to synthesize, organize and direct the interactions on the level below it. Changing something on an upper level would necessarily 'radiate' downward, precipitating change on the lower levels. Changing something on a lower level could, but would not necessarily, affect the upper levels. These levels include (in order from highest to lowest): (1) identity, (2) beliefs and values, (3) capabilities, (4) behavior and (5) environment. A sixth level, referred to as "spiritual," can be defined as a type of "relational field" encompassing multiple identities forming a sense of being a member of a larger system than a particular individual identity.

### Levels of Processing and Organization

Any system of activity is a subsystem embedded inside of another system which is embedded inside of another system, and so on. This kind of relationship between systems produces different levels of processes, relative to the system in which one is operating. Our brain structure, language, and social systems form natural hierarchies or levels of processes.

In fact, people often talk about responding to things on different '*levels*'. For instance, someone might say that some experience was negative on one level but positive on another level. In our brain structure, language, and perceptual systems there are natural hierarchies or levels of experience. Anthropologist Gregory Bateson identified four basic levels of learning and change—each level encompassing and organizing elements from the level below it, and each having a greater degree of impact on the individual, organism or system in which it is operating. These levels roughly correspond to:

<i>Spiritual</i>	Vision & Purpose <i>For Whom?</i>	<i>For What?</i>
A. Who I Am – <i>Identity</i>	Mission & Role	<i>Who?</i>
B. My Belief system – <i>Values and Meanings</i>	Motivation & Permission	<i>Why?</i>
C. My Capabilities – <i>Strategies and States</i>	Maps & Plans	<i>How?</i>
D. What I Do or have Done – <i>Specific Behaviors</i>	Actions & Reactions	<i>What?</i>
E. My Environment – <i>External Constraints</i>	Opportunities & Constraints	<i>Where? When?</i>

The **environmental** level involves the specific external conditions in which our behaviors and interactions take place. Our ability to perceive the external environment is primarily related to the ongoing information we take in through our senses and sense organs. For instance, you can walk around in a particular room and you can look out through your eyes and see the objects, listen with your ears and hear the sounds, smell the odors through your nose, and feel the temperature of the air on your skin. Such environmental perceptions shape our experience of the *where* and the *when* of a particular 'problem space' of change – i.e., the contextual factors, such as physical space and time constraints, that influence the way we approach a problem or goal.

The ability to sense and coordinate your body's **behavior** as you move through a particular external environment involves another level of experience. This level relates to the behavioral activities or results to occur within the environment – i.e., *what* is supposed to happen in a particular where and by when. Behaviors involve the psychomotor system, a deeper level of neurology than the sense organs. The psychomotor system coordinates our physical actions and movements.

While some behaviors are simply reflexive responses to environmental stimuli, most of our actions are not. Many of our behaviors come from "mental maps" and other internal processes whose source is within our minds. This is a level of experience that goes beyond our perceptions of the immediate environment. You can make pictures of things that do not relate to the particular room you are in, for instance. You can remember conversations and events that took place years ago. You can imagine events that may happen years from now. This level of experience has to do with your mental and intellectual **capabilities**. Behaviors without any inner map, plan or strategy to guide them are like knee jerk reactions, habits or rituals. At the level of capability we are able to select, alter and adapt a class of behaviors to a wider set of external situations. It involves *how* you are perceiving and directing your actions.

Our capabilities are in turn shaped and coordinated by our values and belief systems. Our **beliefs and values** transcend any particular thoughts and serve to encourage, inhibit or generalize particular strategies, plans and ways of thinking. They have to do with *why* we think what we think and do what we do. Why, for instance, should a person consider changing his or her thoughts or actions? A person's degree of motivation will determine how much of his or her own inner resources he or she is willing to mobilize. Motivation is what stimulates and activates how people think and what they will do in a particular situation.

The level of **identity** consolidates whole systems of beliefs and values into a sense of self. It has to do with our experience of *who* we are. If you have ever looked at infants when they are first born it is obvious that they are not simply 'blank slates'. They are born with their own personalities. Even before they have perceived much of their environment, coordinated their behavior, formed mental maps or established particular beliefs and values, they have an identity; their own special way of being in the world. Identity level issues have to do with which roles and functions are involved in a problem or outcome? Who is supposed to be involved? What beliefs, values, capabilities and behaviors are associated with the various roles?

Finally, there is the level involving what is usually referred to as "**spiritual**" experience. This relates to our sense of something that goes beyond our own image of ourselves, and involves our vision of the larger system surrounding specific roles, values, beliefs, thoughts, actions or sensations. It relates to who and what else is in the larger system, and can be associated with the questions "For whom?" and "For what?" This level relates to what could be considered the vision and 'spirit' of an individual, group or organization.

As an illustration, the speed of a car is a function of change with respect to its environment—i.e., in the distance it travels in relationship to time. Pushing the gas peddle or brake of a car with one's foot is a behavior which alters its speed. The capability of maintaining the speed limit is a function of integrating a mental map with one's perceptions in order to regulate the way in which one uses one's foot. Respecting the speed limit is a result of valuing laws and believing that there are consequences if they are not kept. If one does not value the speed limit, one will not maintain it, even if one is capable. Being a good driver is a function of aligning all of these levels.

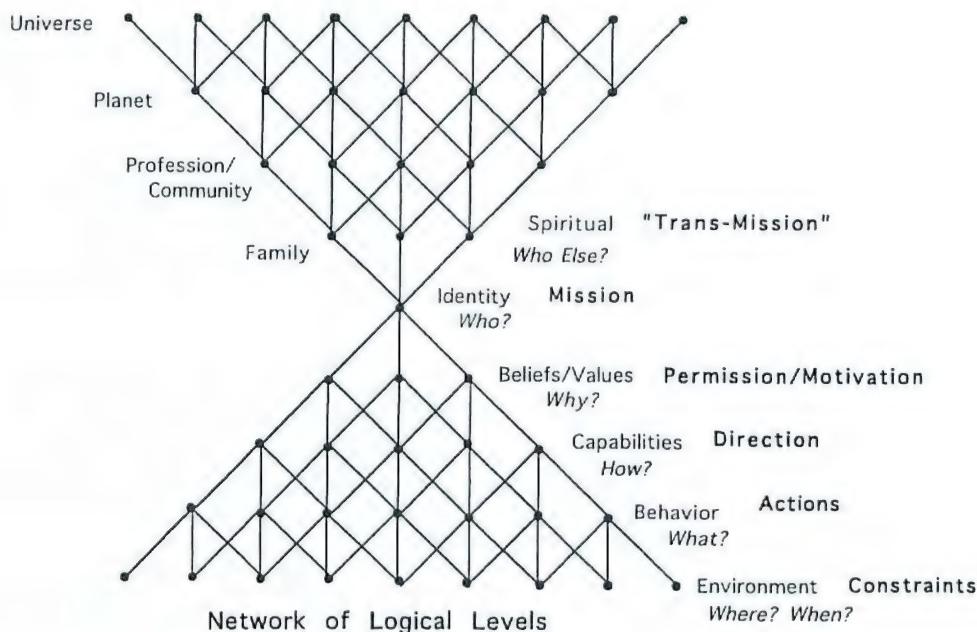
As another example, the keys of a piano and notes on a page of sheet music are in the environment. Pushing down a piano key with one's finger is a behavior. Playing music (sight reading the notes and coordinating one's fingers to produce sounds in the right order) is a capability. Appreciating music is a function of beliefs and values. Being a musician is a combination of all of these processes.

In summary, the environment level involves the specific external conditions in which our behavior takes place. Behaviors without any inner map, plan or strategy to guide them, however, are like knee jerk reactions, habits or rituals. At the level of capability we are able to select, alter and adapt a class of behaviors to a wider set of external situations. At the level of beliefs and values we may encourage, inhibit or generalize a particular strategy, plan or way of thinking. Identity, of course, consolidates whole systems of beliefs and values into a sense of self. While each level becomes more abstracted from the specifics of behavior and sensory experience, each one actually has more and more widespread effect on our behavior and experience.

- \* *Environmental factors* determine the external opportunities or constraints a person has to react to. Answer to the questions **where?** and **when?**
- \* *Behavior* is made up of the specific actions or reactions taken within the environment. Answer to the question **what?**
- \* *Capabilities* guide and give direction to behavioral actions through a mental map, plan or strategy. Answer to the question **how?**
- \* *Beliefs* and *values* provide the reinforcement (motivation and permission) that supports or denies capabilities. Answer to the question **why?**
- \* *Identity* factors determine overall purpose (mission) and shape beliefs and values through our sense of self. Answer to the question **who?**
- \* *Spiritual* issues relate to the fact that we are a part of a larger system that reaches beyond ourselves as individuals to our family, community and global systems. Answer to the question **who else?**

As a metaphor, our identity is like the trunk of a tree – it is the core of our being. The trunk of a tree unfolds organically from a seed by growing a support network of unseen roots that reach deeply into the ground to provide strength and nourishment. It has another network of "roots" that reach into the light and air to provide nourishment of a different kind. The roots and branches of a tree both shape and are shaped by the ecology in which they exist. Similarly our identities are supported by

internal, invisible “roots” in the form of neural networks which process our perception of our personal values, beliefs and capabilities as well as our physical being and environment. Externally, identity is expressed through our participation in the larger systems in which we participate: our family, professional relationships, community and the global system of which we are a member. Phenomena such as “healing,” “joy,” “compassion,” “commitment” and “love” are “fruits” of the spirit as manifested through our identity and are expressed and strengthened through development, enrichment and growth of these two systems of “roots” – the unseen system of our neurology which grows in the soil of our bodies, and the leaves and branches of the larger family, community and global networks of which we are a part.



According to NLP the combinations of these various dimensions of our subjective experience are embodied in the form of neurological circuits which may be activated and mobilized through language patterns, cognitive strategies and accessing cues.

For instance, there are different verbal cues associated with different levels of experience:

- Identity is associated with language like: “I am a ...” or “He is a ...” or “You are a ...”
- Belief level language is often in the form of statements of judgments, rules and cause effect, e.g. “if ... then ...” “one should ...” “we have to ...”
- The level of capabilities is indicated by words such as “know”, “how”, “am able”, “think”, etc.
- Behavioral levels language refers to specific behaviors and observable actions, e.g. ‘do’, ‘act’, ‘walk, say, etc.
- Language at the environmental level refers to specific observable features or details in one’s external context e.g. white paper, high walls, large room, etc.

The following statements indicate the different levels of response to a student who has done poorly on a spelling test.

- A. Identity – “*You are a stupid/learning disabled person.*”
- B. Belief – “*If you cannot spell well you cannot do well in school.*”
- C. Capability – “*You are not very good at spelling.*”
- D. Specific Behavior – “*You did poorly on this particular test.*”
- E. Environment – “*The noise in the room makes it difficult to take tests.*”

## Ego and Soul

Identity can be viewed as being composed of two complementary aspects: the ego and the soul. According to psychoanalysis, the *ego* is “the part of the psyche that mediates between the conscious and the unconscious and is responsible for reality testing and a sense of personal identity.” Thus, the ego has to do with the development and preservation of our sense of a separate self, perceiving reality from its own individual perspective.

At the level of environment, the ego tends to focus on dangers and constraints, and the pursuit of short term gain and pleasure. Consequently, at the level of behavior the ego tends to be more reactive to external conditions. The capabilities associated with the ego are generally those connected with the cognitive intellect such as analysis and strategy. At the level of beliefs and values the ego focuses on safety, security, approval, control, achievement and self-benefit. At the identity level, ego relates to our social roles and who we feel we should be or need to be. At the level of spirit or purpose of the ego is oriented toward survival, recognition and ambition.

From the NLP perspective, the ego can be considered a cognitively constructed map or model of one’s “self” and a natural developmental process. These notions of “reality” and “self” associated with the ego, however, are influenced by external references such as social norms, cultural values and family patterns. Like all maps or models, it is necessarily shaped by the processes of deletion, distortion and generalization. When these distortions create too much separation from the actual territory and potential (superposition) of ourselves they can create symptoms. Some characteristics of an unhealthy ego take the form of either *self-inflation*—pride, arrogance, self-importance, narcissism and self-infatuation—or *self-depreciation* —self-judgment, depression, self-criticism, lack of self-worth and self-confidence, etc. These can lead us to become overly gripped by greed, fear and survival strategies (fight, flight, freeze).

The *soul* is the unique life force, essence or energy that we come into the world with and that comes into the world through us. It is the “deep structure” of our self. As a newborn baby, for instance, we do not yet have an ego, but we have a unique energy and being that is the foundation for our identity. This energy is expressed through our bodies and our interface with the larger fields surrounding us. Because the soul is an energetic deep structure, it is not associated with any particular content—and therefore is not constructed from influences such as society, culture and family. It does, however, express itself in the form of contribution to these larger fields. Thus, rather than being an objectified or separate self, the soul is our expression of an unfolding, connected self.

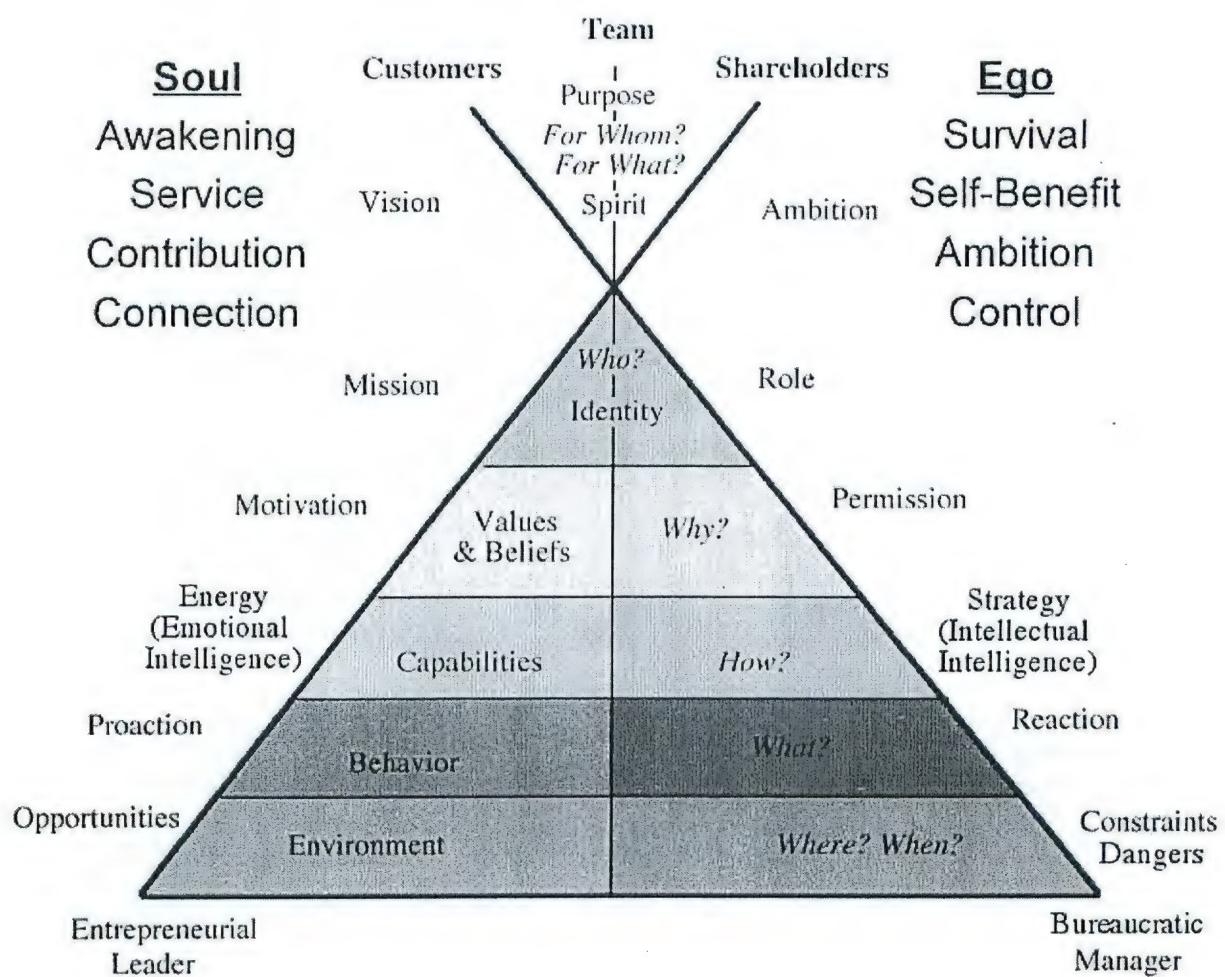
At the level of environment, the soul tends to focus on opportunities for expression and growth. As a result, at the level of behavior the soul tends to respond more proactively to external conditions. The capabilities associated with the soul are generally those related to the perception and management of energy and emotional intelligence. At the level of beliefs and values the soul focuses on internal motivations such as service, contribution, connection, being, expansion and awakening. At the identity level, soul relates to our mission and the unique gifts that we bring into the world. At the level of spirit or purpose of the soul is oriented toward our vision of what we want to create in the world through us but that is beyond us.

Thus, we can say that while ego relates to the content of our experience, soul relates to the container. Similarly, the ego functions through analysis while the soul operates through awareness. Some disciplines, like the Course In Miracles, maintain that there are two fundamental forces in the world, fear and love. From this perspective, we can view the ego as arising primarily from all of the variations of fear and the soul as arising primarily from all of the expressions of love. Clearly, both of these aspects of ourselves are necessary for a healthy and successful existence. The primary questions with respect to the soul are those related to vision and mission: “What do I want to create in the world through me that is beyond me?” and “What is my unique contribution to bringing that vision into expression?” The questions relating to our ego are, “What type of life do I want to create for myself?” and “What type of person do I need to be in order to create the life I want?”

When our body (somatic mind) and our intellect (cognitive mind) connect like two dancers responding to the music of life, then the soul has a vehicle for expression and we find ourselves more alive, with greater joy, heightened intuition and more at home in the world. Charisma, passion and presence

emerge naturally when these two forces (ego and soul; vision and ambition) are aligned. Optimum performance comes when the ego is in service of the soul. When we “sell our soul” for ego benefits, we may have short term success but are heading for a crisis in the long run.

The dynamic between ego and soul operates in a similar way in a company or organization. The ego of the company is made up of the owners and shareholders, whose concern is with the survival, financial profitability (“bottom line”) and return on investment. This is reflected by the ambition of the organization and its members in terms of status and level of performance. The soul of the organization is the value it provides for customers and the larger social and physical environment. This is created by the vision of the organization and the unique contribution and mission of the organization and its members with respect to the systems around it.



## Ego and Soul Worksheet for Individuals

Soul	Ego
<b>Vision</b>  What do you want to create in the world through you that is beyond you?	<b>Ambition</b>  What type of life do you want to create for yourself?
<b>Mission</b>  What will be your unique contribution to making your vision happen?	<b>Role</b>  What type of person do you need to be in order to create the life you want?

## Ego and Soul Worksheet for Organizations

Soul	Ego
<b>Vision</b>  What does your organization want to create in the world through the organization but that is beyond the organization? What services, benefits and contributions does it want to make to its, customers, society, the environment, etc.?	<b>Ambition</b>  What type of status and performance do you want your organization to achieve with respect to your shareholders and competitors?
<b>Mission</b>  What is your organization's unique contribution to making the vision happen? What are the special resources, capabilities and actions that your organization will develop, mobilize and apply to reach the vision?	<b>Role</b>  What type of organization do you need to be in order to reach the status and level of performance you want to achieve?

## **Levels of Support for Learning and Change**

There are various types of support and “guardianship” that help people to successfully change, grow and evolve at different levels.

### **Guiding and Caretaking**

Guiding and caretaking have to do with providing support with respect to the environment in which change takes place. Guiding is the process of directing another person along the path leading from some present state to a desired state. It presupposes that the ‘guide’ has been there before, and knows the best way (or at least a way) to reach the desired state. Being a caretaker, or “custodian,” involves providing a safe and supportive environment. It has to do with attending to the external context and making sure that what is needed is available, and that there are no unnecessary distractions or interferences from the outside.

### **Coaching**

Coaching is the process of helping another person to perform at the peak of his or her abilities. Personal coaching methods derive from a sports training model, promoting conscious awareness of resources and abilities, and the development of conscious competence. They involve drawing out another person’s strengths through careful observation and feedback, and facilitating him or her to function as a part of a team. An effective coach observes a person’s behavior and gives him or her tips and guidance about how to improve in specific contexts and situations. Coaching emphasizes generative change, concentrating on defining and achieving specific goals.

### **Teaching**

Teaching relates to helping a person develop cognitive skills and capabilities. The goal of teaching is generally to assist people to increase competencies and “thinking skills” relevant to an area of learning. Teaching focuses on the acquisition of general cognitive abilities, rather than on particular performances in specific situations. A teacher helps a person to develop new strategies for thinking and acting. The emphasis of teaching is more on new learning than on refining one’s previous performance

### **Mentoring**

Mentoring involves guiding someone to discover his or her own unconscious competencies, and overcome internal resistances and interferences, through believing in the person and validating his or her positive intentions. Mentors help to shape or influence a person’s beliefs and values in a positive way by ‘resonating’ with, releasing, or unveiling that person’s inner wisdom, frequently through the mentor’s own example. This type of mentoring often becomes internalized as part of a person, so that the external presence of the mentor is no longer necessary. People are able to carry “inner mentors” as counselors and guides for their lives in many situations.

### **Sponsoring**

“Sponsorship” is the process of recognizing and acknowledging (“seeing and blessing”) the essence or identity of another person. Sponsorship involves seeking and safeguarding potential within others, focusing on the development of identity and core values. Effective sponsorship results from the commitment to the promotion of something that is already within a person or group, but which is not being manifested to its fullest capacity. This is accomplished through constantly sending messages such as: *You exist. I see you. You are valuable. You are important/special/unique. You are welcome. You belong here. You have something to contribute.* A good “sponsor” creates a context in which others can act, grow and excel. Sponsors provide the conditions, contacts and resources that allow the group or individual being sponsored to focus on, develop and use their own abilities and skills.

### **Awakening**

Awakening goes beyond coaching, teaching, mentoring and sponsorship to include the level of vision, mission and spirit. An awakener supports another person by providing contexts and experiences which bring out the best of that person’s understanding of love, self, and spirit. An awakener “awakens” others through his or her own integrity and congruence. An awakener puts other people in touch with their own missions and visions by being in full contact with his or her own vision and mission.

## Sponsorship

Growth, protection and change at the level of identity is fostered through a special type of coaching relationship known as *sponsorship*. Sponsorship involves seeking and safeguarding fundamental qualities and potentials within others and providing the conditions, support and resources that allow the group or individual being sponsored to express and develop their unique aptitudes and capabilities to the fullest degree. In short, sponsorship involves promoting the unique identity of the individual.

It is also possible to engage in one's own "self-sponsorship," in which one is able to learn to promote and safeguard core qualities within oneself.

The process of sponsorship is primarily expressed through the communication (verbally and non-verbally) of several key messages. These messages have to do with the acknowledgment of the individual in a very fundamental way.

The basic sponsorship messages include:

*You exist. I see you.  
You are valuable.  
You are important/special/unique.  
You have something important to contribute.  
You are welcome here. You belong.*

### *Non-Sponsorship and Negative Sponsorship*

The importance of sponsorship and the sponsorship messages can be illustrated by making a comparison to contexts in which there is no sponsorship and those in which there is what could be called "negative sponsorship." Negative sponsorship messages can function like a type of "thought virus" which limits us and interferes with our abilities to successfully adapt to change within and around us.

The following table provides a comparative summary of the emotional impact of positive sponsorship, non-sponsorship and negative sponsorship.

Positive Sponsorship	Non-Sponsorship	Negative Sponsorship
You are seen. <i>relief, relaxed</i>	You are not seen. <i>anxious, invisible</i>	You should not be here. <i>afraid</i>
You exist. <i>centered, at peace</i>	You are not noticed. <i>desperate for attention</i>	You are nothing. <i>undeserving</i>
You have value. <i>satisfied</i>	You are not valued. <i>empty</i>	You are a problem. <i>blamed and ashamed</i>
You are unique. <i>creative</i>	You are nothing special. <i>passive</i>	You are worse than others. <i>inadequate</i>
Your contribution is important. <i>motivated and energetic</i>	You contribute nothing. <i>worthless and unwanted</i>	You detract. <i>guilty and a burden</i>
You are welcome. <i>at home, loyal</i>	You are not part of the group. <i>displaced</i>	You are unwelcome. <i>desire to leave or escape</i>
You belong. <i>committed</i>	You can be easily replaced. <i>uneasy</i>	You do not deserve to be here <i>rejected and abandoned</i>

### **Comparative Impact of Sponsorship, Non-Sponsorship and Negative Sponsorship**

## Developing Your “Inner Game”

The growth of coaching over the past 20 years has brought new awareness to what it takes to be successful in today's challenging and changing world. One of the major learnings is that helping key people to develop their “Inner Game” is essential to success.

The “Outer Game” of any activity has to do with its behavioral and environmental aspects. In sports, this involves the physical aspects related playing the game and using the equipment (tennis racket, skis, ball, bat, mitt, etc.). In a business environment, this has to do with applying the tools and implementing the procedures necessary to accomplish mission critical tasks and compete effectively in the marketplace.

The “Inner Game” has to do with your mental and emotional approach to what you are doing. This includes your attitude, belief in yourself and your team, your ability to concentrate effectively, deal with mistakes and pressure, and so on. The concept of the “Inner Game” was developed by Timothy Gallwey (1974, 2000) as a way of helping people to achieve excellence in various sports (e.g., tennis, golf, skiing, etc.), music and also business and management training. Success in any area of performance involves using your mind together with your body. Preparing yourself mentally and emotionally to perform well is the essence of your “Inner Game.”

When your Outer Game and Inner Game are working together, actions flow with a type of effortless excellence that is called, “playing in the zone.” Some indicators that you are focused and in “the zone” are:

- A feeling of confidence and the absence of anxiety and self-doubt
- A sense of “humble authority” – self-confidence without arrogance
- No fear of failure or self-consciousness about achieving your goals
- A focus on performing beautifully and excellently
- A state of relaxed readiness in the body and focused spaciousness in the mind
- Performance comes without effort and without having to think about it

The opposite of this state – anxiety, lack of confidence, low energy, fear, stress, mental paralysis – are responsible for many difficulties and challenges. To put it another way, *limitations in people limit their performance*.

Physical practice is what builds the skills of your Outer Game and puts them into “muscle memory” so you don't have to think about it during the game. Similarly, there are mental and somatic exercises can help you to improve your Inner Game.

### *The Power of Presence*

Presence is a key element of the “inner game”. Merriam-Webster's dictionary defines *presence* as “a quality of poise and effectiveness that enables a performer to achieve a close relationship with his or her audience.” The abilities to be poised, effective and achieve a close connection to those with whom we are interacting are important resources for coaches, trainers, managers and professional communicators of all types.

As the definition above implies, poise and connectedness come from the capacity to be present, centered in yourself and in relationship with those around you. The quality of presence is frequently the “difference that makes the difference” in our ability to enjoy life, collaborate generatively and contribute to the growth and transformation of others. Presence is associated with feelings of aliveness, connection, creativity, satisfaction and flow. When we are not present and are disconnected from ourselves and others, we can feel empty, out of control, distant and unavailable.

Transformational teacher Richard Moss points out that the distance between ourselves and others is precisely the distance between ourselves and ourselves. This implies that the way we relate to others and to the world around us is a mirror for how we relate to ourselves. It is from this fundamental relationship with ourselves that our relationships with others and the external world emerge. This self-to-self relationship is frequently limited by those feelings that we don't know how to meet, accept, hold and love in ourselves.

When people are each connected to themselves and present with each other, the natural feelings that emerge are compassion, empathy, genuine interest in each other, spontaneity, authenticity and joy. These feelings are the foundation for all effective personal and professional relationships.

## Presence and the Body

When we are present, we inhabit our body. This means that part of our awareness rests in the body. Since the body only lives and breathes in the present moment, when we are in a state of presence, part of our awareness is also anchored in the present moment. While our attention can be directed toward a task at hand, an interaction, an intellectual activity, or any other place we choose to give our attention, when our awareness is simultaneously rooted in our body with its ever-changing universe of physical sensations and feelings, we have access to a vastly rich and resource-filled wealth of information that enriches our experience of whatever we are attending to. When we say that someone is “in their head” or “cut off from their body”, this indicates a lack of access to this rich kinesthetic experience. When we are “in our head”, it usually means that our attention has taken us away from the present moment. This is often accompanied by certain types of physical and emotional manifestations: shallow or rapid breathing, talking quickly, tension in the shoulders, neck and face, emotions that tend toward anxiety, a sense of stress or contraction. Inversely, when we are well-grounded in the present moment, we tend to be physically relaxed, to breathe more slowly and deeply, to experience emotions that tend toward peacefulness, and resourceful states of being like relaxed alertness and heightened vitality. As Richard Moss has pointed out, when the body is happy, the emotions tend to be positive and the mind quiet.

There are different ways to increase our state of presence. One of these is to develop awareness of the body, and there are many practices that help us to do this. It is useful to become aware of practices that require no special conditions but can be cultivated in the midst of our daily lives, wherever we are, whatever we are doing. Our body provides an ongoing opportunity for developing these simple but deeply transformative practices.

### Body Posture

Anyone who has studied martial arts or yoga, or who has experience with different approaches to body work that focus on the structure and movement of the body (osteopathy, Alexander Technique, Feldenkrais, etc.) knows that our body posture and way of moving are a reflection of our inner life, and that, conversely, we can influence our internal states by practicing body awareness. Thus, another practice that can help us to learn to become more present is to develop awareness of our body posture. In any given moment, we can turn our attention to our physical body and become aware of our physical posture. This orients our attention to the present moment, and again slows down the sequential process of the thinking mind that tends to take us out of the present. We can become aware of how we might be holding tension that is not useful and thus release excess energy expenditure in order to be more resourceful and energized in the present.

Without changing anything in your posture, become aware of how you are sitting (or standing) right now. Take the time to “visit” your body: shoulders, neck, face, spine, belly, chest, hips and any other part of your body that calls your attention. Sense where there may be excess tension (back of neck contracted), or a lack of vitality (chest sunk, shoulders rounded). Allow your body to gently adjust its posture. Use your breath to help your body do this. Use the out-breath to help release what is contracted or tense by gently “breathing out through those places.” To tone those places where energy is lacking, allow the breath to fill them gently on the in-breath. Force nothing, but instead allow your body to find a more resourceful, balanced state as you give it your attention and “breathe with” it.

It can also be helpful to imagine your chest lifting and expanding. Move the center of your chest upward as you feel your heart area opening. At the same time, imagine your spine lengthening. As though there were a string attached to the center of the crown of your head, feel your head being gently pulled upward. Think “head free,” and feel the back of your neck lengthen, and your chin come slightly downwards and in. Feel the freedom in the occipital joint where the spinal column meets the skull. Imagine space between each vertebrae all the way down your spine. At the bottom of your spine, imagine that the sacrum and the coccyx (“tail bone”) continue beyond the physical body and extend toward the floor, as though the spine lengthened into a “kangaroo tail” that goes all the way down to the ground. This may produce a sense of lengthening in your lower back and a general state of relaxation in the pelvic area. If it is useful, imagine that this “tail” continues to extend, like a root, deeper and deeper into the earth. Again, force nothing and continue to be aware of the sensations present in your body. When you are ready, give your attention back to whatever you were doing, keeping part of your awareness on the felt sense of your physical body.

## **The Breath**

It is no surprise that many traditional approaches for increasing consciousness include practices that are based on breath awareness. The breath accompanies us from our first in-breath at birth to our last out-breath at the moment of our death. The breath is always happening in the present moment, and as such is an excellent anchor for bringing our awareness into the present. By simply taking a few seconds to turn the attention to the sensation of the movement of the breath in the body, the sequential thought process of the mind that generally dominates our attention will loosen its grip, the body will relax to some degree, and we can then continue whatever we are doing with more presence and resources, more connected to ourselves in the present.

Take a moment right now to put your attention on your breathing. Feel the air coming in your nostrils and the expansion of your body on the in-breath. Feel the air pouring out through your nostrils or mouth and the corresponding release of muscular tension on the out-breath. Breathe at whatever rhythm happens naturally, and with gentle curiosity, feel the sensations breathing produces in your torso. Keep your attention on your breathing until you feel a change in your inner state. When you feel ready, turn your attention back to whatever you were doing (reading this manual, for example), and allow a part of your awareness to remain present with your breathing. Notice also if there is any resistance (impatience, frustration, skepticism, "I'll do this later") to giving your attention for a few moments to your breath. The mind may rebel against interrupting its activity, but you can reassure it that you will be right back.

Notice what changes are produced in your inner state by giving your attention to your breath and your body.

### **Coming present through breath.**

Breath is our most important connection with our environment as we exchange breathe with the universe. We are giving our spirit through our breath to the world. We are receiving spirit from the world through our breath.

### **4 Square Breathing**

1. Breathe in for a count of 4
2. Hold for the count of 4
3. Breath out for count of 4
4. Hold for the count of 4
5. Repeat

Notice the difference when you change the speed. Notice where your breath goes in the body, through the lungs, under the arms and in the back...etc. Follow your breath.

## Survival Strategies

The opposite of being in one's inner zone of excellence is regression into survival strategies. As their name implies, *survival strategies* are activated by a perceived threat to our physical or psychological survival. They are a part of our deepest programming which we share with and have evolved from other animals. All creatures must develop some form of survival strategies.

The primarily survival strategies are *fight* (attack), *flight* (escape), *freeze* (paralysis) or *surrender* (submit). Survival strategies are deep and often unconscious internal patterns that are usually established at a very early age. They form a part of our core programming and function as a type of fundamental meta program which shapes our approach to life and relationships.

These fundamental strategies can take many forms in our daily life, such as rebelling, withdrawing or acquiescing, feeling the need to shrink, trying to become small and invisible, going blank, dissociating from feelings, becoming passive, seducing others, believing in the necessity to hold one's ground at all costs, etc. "Survival" in many cases, extends beyond physical survival to include the preservation or protection of our sense of identity and personal integrity, key beliefs and values, significant roles and relationships to which we have devoted ourselves, and so on.

Interestingly, many survival strategies are also a way to get attention as well as ward off danger. Attracting a certain quality of attention, especially from significant others, is also a way to ensure survival.

As with all behaviors, it is most effective to have a range of possibilities with respect to our survival strategies and apply them flexibly according to the context. The challenge with most survival strategies and what distinguishes them from being in the "zone," is that they are driven by fear; an archetypal energy which can pull us out of our centers and leave us ungrounded and trapped. Instead of being present, open and awake, we become disconnected, shut down and contracted. This leads us to act inappropriately, and frequently produces a paradoxical result in which we are actually escalating the situation, and end up putting ourselves even more at risk in some way. Trying to protect one thing endangers something else that is actually more important or fundamental.

This is especially evident when survival strategies become attached to protecting a particular mental model of the world or ego identity (idealized self).

Most survival strategies are designed to preserve what exists and avoid risks. Thus, they are not generative; i.e., they do not promote transformation, growth or change. When a survival strategy is applied excessively due to fear, it begins to limit us and hold us in a state of inertia. There is a significant difference between surviving and thriving.

Survival strategies naturally trigger when facing change or unknown territory, especially if there is a possibility of the breakdown or loss of the current structure. In this way, survival strategies can be either a complement or an interference to evolution, awakening and generative change. Growth and evolution clearly involve surviving (i.e., continuing to exist), but without becoming lost in the survival strategy, which will hold us back. This is only possible when there is an expansion of consciousness and awareness. Thus, it is important to periodically review, enrich and update our survival strategies, expanding our options to include new possibilities such as centering, acceptance, forgiveness, commitment and fluidity.

## State Management

A person's internal state is an important influence on his or her ability to interact with others and perform effectively. Knowing how to manage one's internal state is an important skill for success in practically every area of human competence. According to the great psychologist William James:

*The greatest revolution of our generation is the discovery that human beings, by changing the inner attitudes of their minds, can change the outer aspects of their lives.*

Athletes getting ready to compete in a sports event, for instance, prepare their internal states as much as they prepare themselves physically. They talk about the importance of maintaining a calm, relaxed and focused internal state, even for events that require intense effort and expension of physical energy.

As another example, in a study of effective leadership, mangers were asked, "How do you deal with challenging situations involving uncertainty, conflict and/or complexity?" The most common reaction to this question went something like:

*I gather as much information as I can; looking at the situation from every angle and gathering the relevant data. But when I actually am in that situation I do not really think about what I am going to do or say or how I should react or respond. There are too many things that could come up that I haven't thought of. At that time there is only one thing on my mind: "What state do I want to be in?" Because if I am in the wrong state, I will struggle no matter how well prepared I am. But if I am in right state, even if I don't know the answer, the inspiration will come.*

From the NLP perspective, internal states are a synthesis of both mental and physiological attribute that influence performance and stimulate unconscious processes. Having methods for selecting and managing one's internal state is a key part of successfully responding to and resolving problem situations. Different types of internal states are more effective for handling different situations and problems. Learning various strategies for establishing and shifting internal states can make you more effective in all aspects of your personal and professional life.

In many ways the most fundamental instrument you have to accomplish any activity in your life is your own body and nervous system. You could go so far as to say that the manifestation of all of your abilities comes through your body or physiology in some way. They are expressed in the world through your words, voice tone, facial expression, body posture, the movement of your hands, etc. And your ability to use these most fundamental instruments of communication and interaction is greatly dependent on your internal state.

In fact, sometimes particular abilities can be too state-dependent. A good analogy is provided by the movie *Butch Cassidy and the Sundance Kid* (1969). The Sundance Kid was a gunfighter who was a great shot, but he could only shoot if he was moving. If he tried to stand still, he couldn't hit anything; he had to be jumping, falling or twisting in order to aim. This is an advantage but can also be a limitation. Similarly, some people can only perform effectively when they're under stress.

There is a saying that claims, "When the going gets tough, the tough get going." The implication is that a difficult situation forces strong people to draw more fully on their inner resources. The problem arises for these kinds of people when there is no difficult situation. They have to create a crisis in order to get going.

Thus, one of our most important 'self skills' is the ability to manage one's internal state. This involves the capacity to select and maintain the types of internal states that will promote and sustain effective performance. In selecting and maintaining a choice of resourceful states, it is important to make sure that useful states are kept 'clean'. This means there are no other states competing with the resourceful state in our neurology. Clean entry and exit from one state to another is essential in the utilization of state selection and management. Ongoing care and maintenance of our internal states helps to keep them congruent and available.

## Finding Your “Inner Zone of Excellence”

1. Sit or stand in a comfortable position with both feet flat on the floor and your spine erect but relaxed (i.e., “in your axis”). Check that your breathing is regular and from the belly. (Shallow, short or rapid breathing from the chest would indicate that you are in a stressed mode.)
2. Bring your attention to the soles of your feet (i.e., put your “mind” into your feet.). Become aware of the universe of sensations in the bottoms of your feet. Feel the surface of your heels, toes, arches and the balls of your feet.
3. Begin to expand your awareness to include the physical reality (the 3-dimensional space) of your feet and then move up through your lower legs, knees, thighs, pelvis and hips. Become aware of your belly center and say to yourself, “I am here.”
4. Continuing to stay aware of your lower body, move your awareness up through your solar plexus, spine, lungs, rib cage and chest. Focus on your heart center and say to yourself, “I am open.”
5. Expand your attention to move up through your shoulders, upper arms, elbows, lower arms, wrists, hands and fingers, and up through your neck, throat, face, skull and brain. Bring your awareness to the center in your head, behind your eyes, and say to yourself, “I am awake. I am alert and clear.”
6. Staying in contact with the ongoing physical sensations in your body and the three centers, become aware of all the space above you, reaching into the sky; all of the space below you, going into the center of the Earth; all of the space to your left; all of the space to your right; all of the space behind you; all of the space in front of you. Say to yourself, “I am ready.”

## Strengthening Your Center

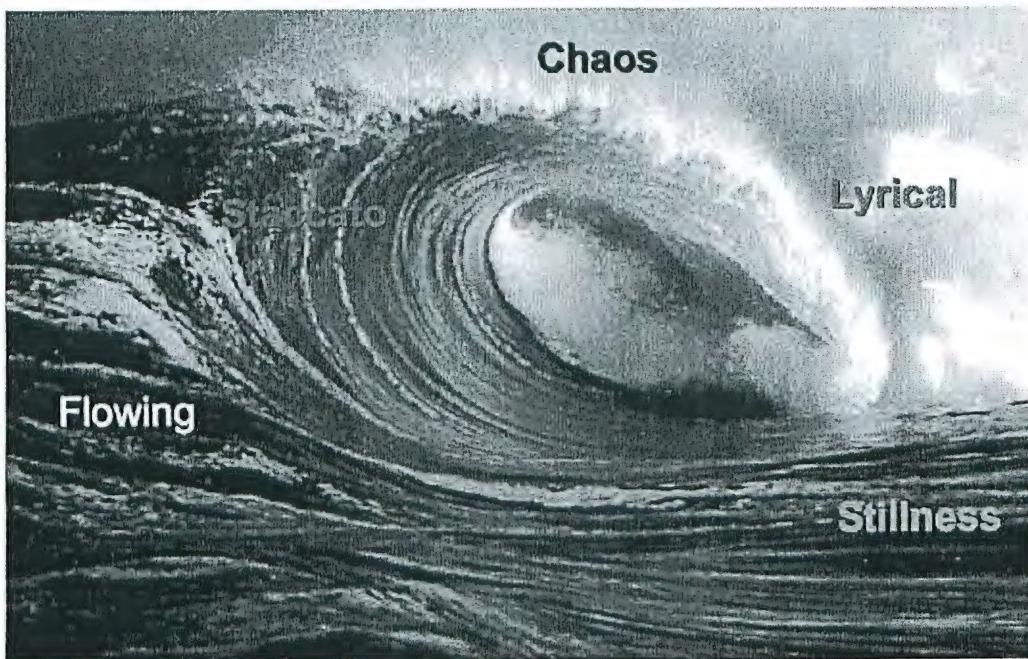
1. Find (or if necessary, imagine) an example of an activity or situation in which you feel naturally and spontaneously centered and connected with yourself. Experience what it feels like in your body. What is your inner state? Where do you feel your center? Identify the key qualities (color, movement, sound, voice tone, body sensations) associated with that state of centeredness.
2. Find two other examples of activities or situations in which you naturally and spontaneously feel centered and repeat this process of identifying the key elements that constitute your state of centeredness and connection with yourself.
3. Find an example of a challenging situation in which you were able to stay centered and connected with yourself. Experience what this feels like in your body. What is your inner state? Where do you feel your center? Identify the key qualities (color, movement, sound, voice tone, body sensations) associated with that state of centeredness.
4. Find two other examples of challenging situations in which you were able to stay centered and connected with yourself and repeat this process.
5. How do you know that you are centered and connected with yourself? Identify the common internal qualities shared by all these experiences, in particular with respect to feelings.
6. Place your hands over the part of your body where you most fully feel the sense of your center.

## Gabrielle Roth's 5 Rhythms®

Gabrielle Roth's 5 Rhythms® are a body based movement practice that teaches us to ground in our bodies, open our hearts, still our mind and feel our connection with the field we are part of. The Rhythms are both a map and a practice, the fruit of Gabrielle Roth's many years of observation of how energy moves in people and in life. As Gabrielle says in *Sweat Your Prayers* (1997), "Energy moves in waves. Waves move in patterns. Patterns move in rhythms. A human being is all of those: energy, waves, patterns, rhythms. We are the dance."

She identifies five rhythms-flowing, staccato, chaos, lyrical and stillness-that form a *wave*; a type of "meta model" for transformation. These 5 Rhythms® are types of "archetypal energies" through which our individual centers/sources become progressively more defined and open to and connected to the "field". In Gabrielle's words:

*In flowing you discover yourself. In staccato you define yourself. Chaos helps you dissolve yourself, so you don't end up fixed and rigid in the self you've discovered and defined. Lyrical inspires you to devote yourself to digging deep into the unique expression of your energy. And stillness allows you to disappear into the big energy that holds us all so you can start the whole process over again.*



The 5 Rhythms® Form a Wave

Each of these rhythms can have many forms of expression, dance and "somatic syntax" being the most obvious. They also, however, have corresponding visual and auditory expressions (as in art and music) and may appear as driving factors at the basis of various techniques.

Gabrielle also maintains that "To get in touch with pure archetypal energies we have to dance their shadow as well as their light." The shadow side of flowing is inertia (mindlessly continuing one's current path); the shadow of staccato is rigidity; the shadow of chaos is confusion; the shadow of lyrical is superficiality or escape; and the shadow of stillness is lethargy, dissociation and becoming disembodied and lost in the field. Each of these shadows occurs when we enter the rhythm without a strong contact with our center.

A particularly important rhythm for transformation is that of stillness. Gabrielle identifies the lessons of stillness as: wisdom, compassion and inspiration. These are embodied by the archetype of alchemist. The alchemist transforms fear into love, pain into prayer and art, negativity into creativity, anger into compassion.

Gabrielle gives the following advice for achieving stillness:

*Slow down. Move in super-slow motion. Gather your energy inward. Sink into the emptiness. Disappear in the dance. Occasionally stop and feel your shape. Watch your breath. If your mind is chattering, do some quick moves between stops. Let your arms float like clouds around your body as you shift your weight from one foot to the other. Settle into the stops, like a mime. Your dance looks like a series of snapshots with movements in between. Slowly come to a rest. Sit. Close your eyes. Focus your attention on the ebb and flow of your breath, the beat of your heart, the pulsing of your cells. And in this womb of stillness, in this song of silence, embrace the mystery that is you.*

We know that you will find this body-based meditation practice of awareness through movement profound, inspiring and transformational.

Like all true works of genius, the Rhythms are universal and can seem deceptively simple. As with any discipline - and as you know from your experience learning NLP - to become skillful in guiding others through the map and into the territory requires many, many hours of dedicated practice and training.

Your exposure to the 5 Rhythms® in the context of this training is intended for your personal enrichment. While the Rhythms are based on a series of maps, the learning happens first and primarily in the body. The intelligence of the somatic mind will nurture the cognitive mind, but this is a learning process that begins (and remains) in the feet, rather than trying to go from the head down.

In this spirit, we ask you to respect Gabrielle Roth's intellectual property and not to teach the 5 Rhythms® to anyone else. If you're moved by this practice, we encourage you to dance and dance and dance some more. If you want to dance with others, Gabrielle Roth and her group The Mirrors have created cd's for dancing the Rhythms. The music itself will guide you through the 5 Rhythms®.

Bones      Tracks 2 - 6  
Initiation Tracks 1 - 5  
Trance Tracks 4 - 8  
Tribe Tracks 1 - 5  
Endless Wave, vols. 1, 2 - Gabrielle's voice guides you through a wave

In many parts of the world, you can find workshops and courses led by teachers who have gone through extensive training with Gabrielle. She has also written three inspiring and practical books, *Maps to Ecstasy*, *Sweat Your Prayers* and *Connections* that will deepen your relationship with your practice. Consult her website [www.gabrielleroth.com](http://www.gabrielleroth.com) for information about classes, teachers, music or books. You can also check [www.movingcenter.com](http://www.movingcenter.com) for more classes and workshops.

Again, enjoy this taste of Gabrielle's 5 Rhythms® and remember to breathe, stay grounded and follow your feet!

## Active Centering – Rock and River

Being centered and internally congruent are basic requirements for being fully present. Being centered is also a very useful resource state. People who practice martial arts (Karate, Judo, Kung Fu, etc.), for instance, often talk about the importance of being “centered” and calm, even when they are in the middle of intense competition. In fact, they say that, “if you give away your center to your opponent, you have already lost the competition.” When you lose your center and get upset, you begin to lose other resources and often start working against yourself.

Two fundamental ways of practicing centering are rooting and flowing. When *rooting*, we anchor our center to one spot, making ourselves solid and able to “stand our ground” (like a “rock”) despite any force acting against us. When *flowing*, we move (like “water”) with whatever force comes our way. Staying centered and grounded, we step out of the line of the force and move in a circle around it so that we end up slightly behind and beside it. Common to both forms of active centering is grounding. Grounding involves bringing energy down and maintaining a felt connection with the earth in your body. Depending upon the situation we are in, both rooting and flowing can be appropriate and useful strategies for maintaining our center.

The following tool offers a way to apply the experience of being centered in order to respond more resourcefully to challenging situations.

1. Associate into a challenging situation in which it is difficult for you to stay centered and resourceful
2. Step out of the experience and enter an inner state in which you feel aligned, relaxed and centered.
3. When you are ready, ask your partner to gently begin to physically push and pull you in different directions, from different angles (from the shoulders, waist, front, back, side to side, etc.), while you practice staying centered, rooted, balanced and aligned both physically and mentally. Do this by meeting and energetically mirroring the pressure coming from your partner and directing it down through your center, through your feet and into the ground. Remain relaxed with your knees flexible and breathe in the belly.

As you become more comfortable and confident with your ability to remain in the state, you can make it more challenging by asking your partner to push or pull a little harder.

When practicing flowing, have your partner pull and push you so you are no longer standing in the same place but moving through space. Turn in a circle around the your partner so that you end up slightly behind and beside your partner. Remain rooted by staying grounded and connected to your center as you move in a circle around the direction of the force.

4. When you feel ready, hold the centered state, step back into the challenging situation and notice how your experience is different. You should feel much more able to deal with the situation in a resourceful manner.

## Archetypal Energies

According to Stephen Gilligan, there are three fundamental “archetypal energies” required for healing: strength (ferocity), compassion (softness, openness, gentleness) and humor (flexibility, creativity, deviousness). Strength is needed to stay committed and set boundaries. Strength without compassion and humor can become violence and aggression. Compassion is needed to connect with others, have emotional wholeness and to effectively give and receive the nurturing necessary to heal. Compassion and softness without strength and humor can become weakness and dependence. Humor is necessary to find new perspectives, be creative and have fluidity. Humor without strength and compassion, however, can become cynicism and superficial trickery.

According to Gilligan, it is necessary to maintain a balance of these three forces, and to “humanize” them by bringing them into your “center.”

### Co-Sponsorship Exercise

Sit together in a pair (A and B) facing each other. Both A and B take the time to “center” themselves coming fully in contact with their internal physical, emotional and spiritual center.

Person A begins by accessing the energy of strength and bringing it into his or her center. When he or she feels the presence of the energy of strength in his or her body, A makes eye contact with B and makes the invitation: See my strength.

B maintains eye contact with A, and when he or she is able to authentically see or sense A’s strength, B says: I see your strength.

A then internally contacts the energy of compassion or softness and bringing it into his or her center. When he or she feels the presence of the energy of softness in his or her body, A makes eye contact with B and makes the invitation: See my softness.

Again, maintaining eye contact with A, when B is able to authentically see or sense A’s softness, B says: I see your softness.

Person A now accesses the energy of humor and brings it into his or her center. When he or she feels the presence of the energy of humor throughout his or her body, A makes eye contact with B and makes the invitation: See my humor.

When B is able to authentically see or sense A’s humor, B says: I see your humor.

Finally, person A focuses his or her attention on the felt sense of his or her center. When he or she feels fully present throughout his or her body, A makes eye contact with B and makes the invitation: See me.

When B is able to authentically see or sense the full presence of A, B says: I see you.

A and B repeat the exercise, switching roles, so that B makes the invitation to A to see B’s strength, softness, humor and presence.

## Managing Personal States

The cognitive and physical distinctions and cues identified by NLP may be used to systematically access and mobilize different parts of our nervous system. NLP provides a wide variety of tools, techniques and skills for selecting and managing specific states of consciousness. Some of these processes include: Anchoring, Submodality techniques, Perceptual Positions, Somatic Syntax, and the use of Accessing Cues and other Micro Behavioral Cues. The following exercises illustrate some ways to use basic NLP tools in order to help you better select and manage your own internal state.

### Accessing and Anchoring a State

Anchoring is one of the most simple and powerful tools for selecting and accessing internal states. Anchoring involves establishing a cue or trigger for a specific desired state. As an example, try out the following steps:

1. Remember a specific time when you experienced the state you want to create access to, now or in the future.
2. Recover the state fully. See through your own eyes, hear through your own ears, and feel your body sensations, breathing pattern, etc.
3. Select a specific color, symbol or some other visual cue, some sound and/or word, or some specific sensation to remind you of the state (anchor).
4. Shake off the state and test the anchor to re-access the state.
5. Repeat steps 1-4 until you can achieve easy, clean access to the state.

### Transferring a Resource State

The ability to “anchor” states allows us to reaccess them and use them in practically any situation we choose. The following steps provides a method of identifying and anchoring a resourceful state, and then transferring that state to a problem situation by using the resourceful anchor.

1. Put yourself in a relaxed physical posture in which you feel that you can be a neutral observer of yourself (“meta position”). From this perspective, select a particular resource state that you would like to explore and enhance.
2. Choose a specific physical location representing a ‘space’ for that resource state. Put an imaginary border around this space (i.e. a circle, square, star, etc.).
3. Think of a strong reference experience for this resource state. Associate fully into the experience and physically step into the resource location, maintaining that state as completely as possible. Notice any physiological cues associated with the state.
4. Step out of the associated resource state leaving it in the resource location, and move back into your initial “meta position.” Make sure your physiology changes.
5. Test the strength of the ‘locational anchor’ by stepping back into the resource space and checking for the presence of the significant physical cues associated with the resource state. Repeat the process of stepping between the resource space and ‘meta position’ several times to make sure the states are well sorted. Also pay attention to changes in your internal experience. If there is any doubt, or the states become diluted or ‘contaminated’, re-establish the spatial anchor in a different location.

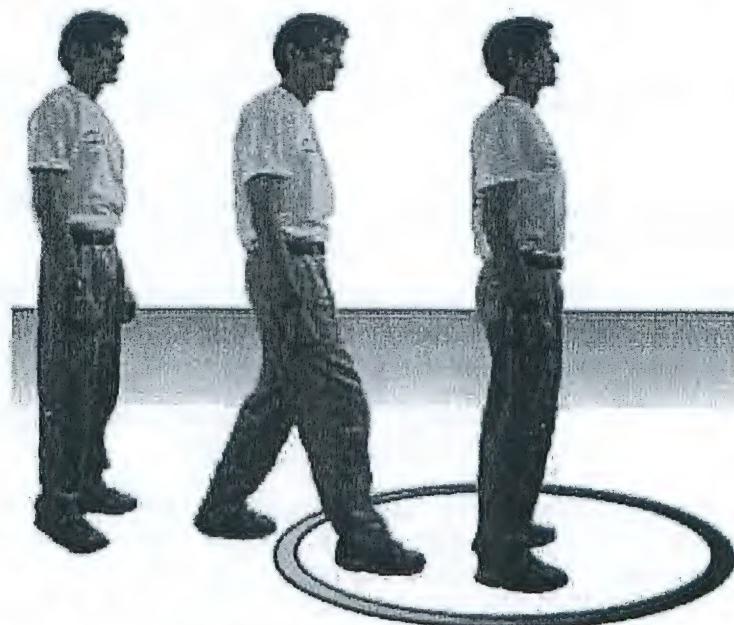
6. From meta position, identify any significant cognitive patterns associated with the resource state in comparison with the meta position (i.e., representational systems and submodalities).
7. Step back into the resource location and experiment to find which physical and cognitive pattern may be amplified to enhance the resource state even more. Notice whatever physical cues become amplified.
8. Identify a context in which you have some of the resource state but would like to have more of it. Imagine that the resource space you have created has been transported to that context. Step into the resource space and check for the appropriate physical cues.

## The Circle of Excellence

The Circle of Excellence is a fundamental NLP process formulated by John Grinder and Judith DeLozier. Its purpose is to help people anchor, enrich and reaccess states of optimal performance. The purpose of the Circle of Excellence format is to 1) discover something about your own internal and behavioral cues for an effective state, 2) establish an internal anchor to be able to more easily reaccess that state, and 3) learn to observe and read other people's cues more effectively.

### *Circle of Excellence Exercise*

1. Choose a resourceful state you would like to experience more often (e.g., creativity).
2. Identify a specific time in which you fully experienced that state.
3. Imagine a circle on the ground in front of you, or select a specific color, symbol or some other visual cue or sound that you would associate with that state.
4. When you are ready, step forward into the circle (or other symbol that you have chosen). Relive the experience, by associating into the state fully. See through your own eyes, hear through your own ears, and feel the sensations, breathing patterns, etc.



**Stepping into the 'Circle of Excellence'**

5. Take an inventory of the cognitive and behavioral patterns, both obvious and subtle, associated with the state. Focus your attention internally and notice any inner representations, submodality characteristics, breathing patterns, muscle tension, etc.
6. Enhance your experience of the state by amplifying any submodalities (color, movement, brightness etc.) associated with the state, including all representational modalities (sight, sound, feeling, movement, smell and taste).
7. Step back and shake off the state.
8. Test your “circle of excellence” by stepping forward and noticing how quickly and fully you can re-access the state.
9. Repeat steps 1 to 7 until you can achieve an easy, clean access to the state.
10. Identify some of the situations in which you would like to have this state. Imagine you can take your “circle of excellence” into each situation and “future pace” your experience.

The Circle of Excellence allows you to discover the key cognitive and physical patterns associated with personal states of optimal performance. It also helps to develop awareness about the types of cues that might be valuable in terms of recognizing and managing the states of other people.

Even very subtle behaviors can make a difference in performance. If you can find some of these cues, you can help to reaccess that state in a more conscious and purposeful way.

Of course, some cues are going to be idiosyncratic. They are unique to a certain person, like some of the cognitive aspects of a person’s creativity strategy. There are other kinds of cues that are shared by many people. You might find, for example, that certain kinds of gestures vary in their meaning from culture to culture, but other kinds of physiology and physiological cues are shared from culture to culture, like facial expressions.

In terms of your own personal performance, what’s important is developing as much ‘meta cognition’ or awareness of your idiosyncratic cues as you can. This can provide you with a way to tell if you are in a state conducive to making an effective performance, and it offers a tool to get back into an effective state when you need to. The more you know about both the cognitive and physiological aspects associated with your own peak performances, the more chance that you have of being able to re-access it at will.

With respect to managing the processes of others, many people have a tendency to assume that others are effective in the same way that they themselves are, and that behavioral cues mean the same thing for everybody. This can create problems, especially with people that you work with. Developing an awareness of shared and idiosyncratic cues can help avoid problems of interpretation of the behavior of others.

## Contrastive Analysis

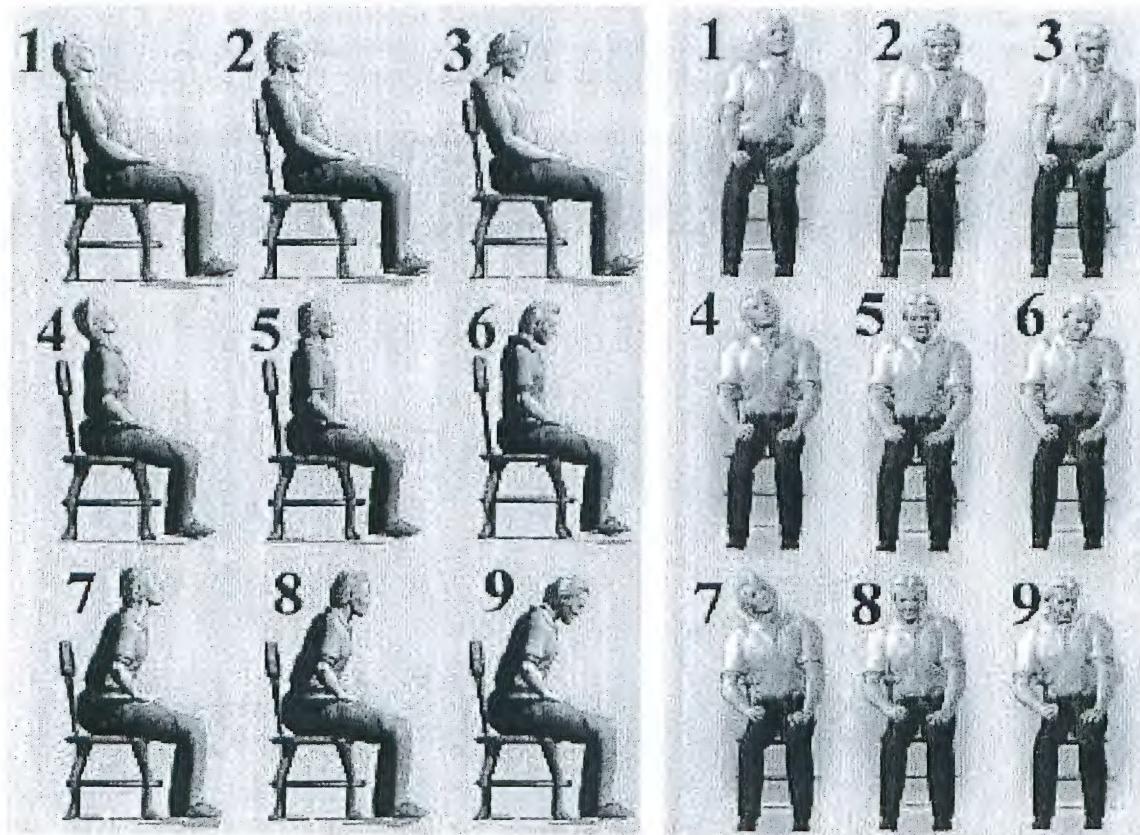
One of the simplest and most profound ways of finding relevant cognitive patterns and behavioral cues is through what is called “contrastive analysis.” Contrastive analysis refers to the process of comparing different states, representations, maps, performances or descriptions, for the purpose of discovering the “differences that make a difference.” By comparing and contrasting, a person can discover information that allows that person to have a better understanding of the structure of the experience. For example, if a person has an experience of creativity in one context, and an experience of being uncreative in another, these two experiences can be analytically contrasted with respect to the differences involved. The person can notice how the feelings, body language, focus of attention, beliefs and values, thinking strategies, and environmental cues differ. From gaining knowledge of these cues and areas of difference, strategies of learning can be applied for changing portions of the experiences. Contrastive analysis is at the basis of most NLP “utilization” processes.

### *Contrastive Analysis Exercise*

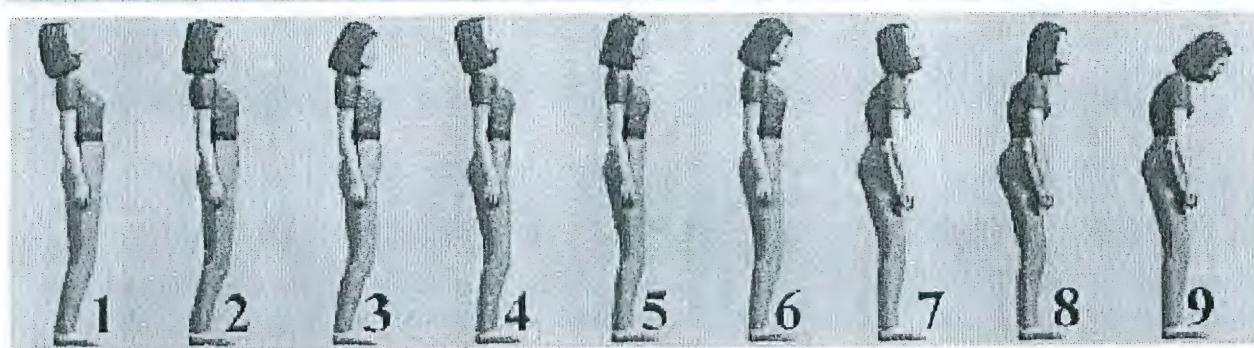
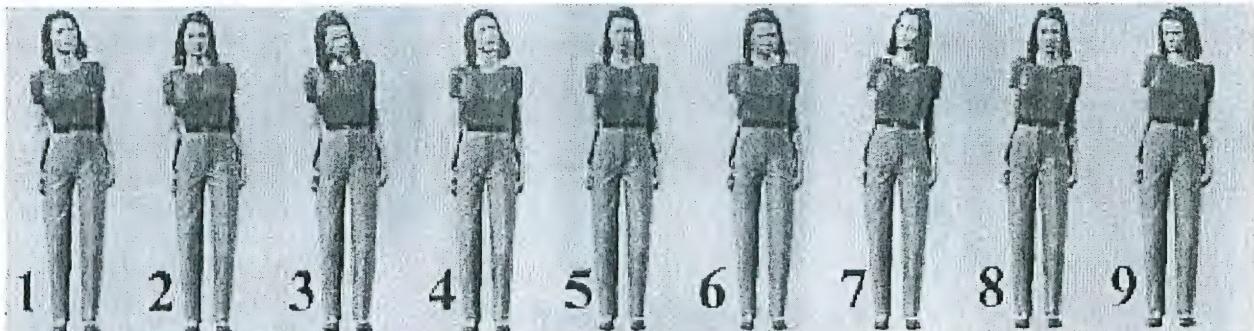
As a personal experience of contrastive analysis, compare states of effective performance with state of being stuck or distracted. For example:

1. Think of a time you performed with confidence and competence. Put yourself back into that experience as fully as possible.
2. Contrast that state with a situation in which you were either stuck or distracted.
3. Notice which behavioral cues, both obvious and subtle, change between the two states. (You may use the following diagrams as a guide for some potential differences in body language.)

### *Body Posture and Performance*

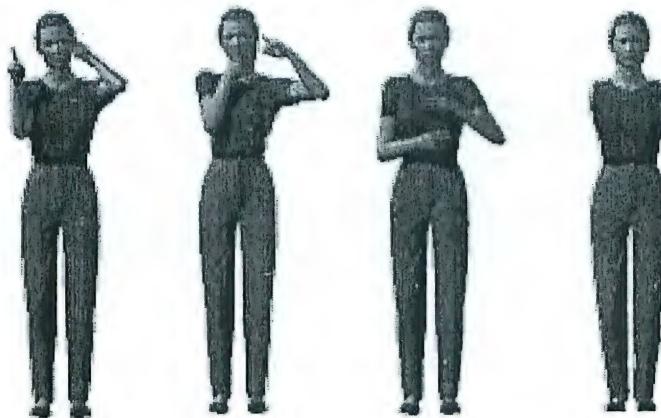


Circle the pictures that most represent your posture when you are performing effectively. Put a square around the pictures that most represent your posture when you are stuck or distracted (choose both a front and a side view).



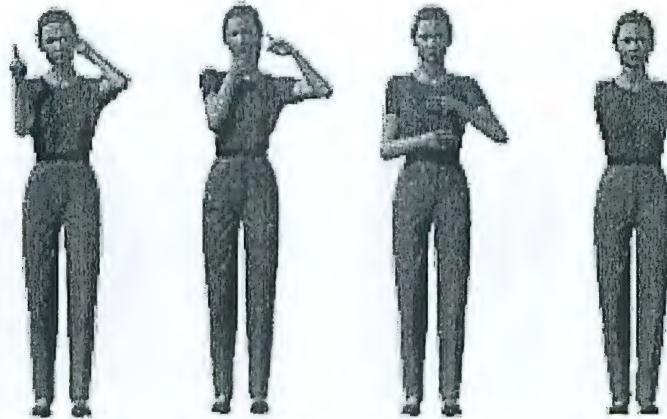
#### *Gestures and Effective Performance*

Circle the picture that most represents the gestures you most often use when performing effectively or draw the gestures on the picture provided on the right.



#### **Effective Performance**

Circle the picture that represents the gestures you most often use in a stuck or distracted state; or draw the gestures on the picture provided on the right.



### Stuck or Distracted State

Remember, even very subtle behaviors can make a difference in performance. If you can find some of these cues, you can help to reaccess resourceful states in a more conscious and purposeful way.

This exercise can also be done in a group of three. Person one is the “explorer.” The explorer is the person who’s reliving the different experiences of effective versus stuck states. Person two is an observer of the explorer’s physiology. Person three is a coach who will be giving the explorer directions and collaborating the observations of the observer.

The coach is to direct the explorer to think of a time when he or she was able to do something effectively. The explorer is to relive an example of personal excellence as fully as possible. Both the observer and the coach will observe for significant behavioral cues. The coach will then ask the explorer to think of an experience in which he or she was stuck or distracted. Observer and coach are to compare the behavioral cues for the two states.

The observer and coach should then make comments to the explorer on what they have observed. When doing this exercise, it is important to remember the difference between observing and interpreting. Saying, “You looked comfortable,” is not an observation; that is an interpretation. The skill here is to actually describe the behavior you observed, such as, “Your head was up”; “Your hand was on your face”; “You were leaning forward,” etc. Otherwise disagreements can arise based on personal interpretations.

To test your observational skills, the coach can then ask the explorer to pick a different situation in which he or she was either effective or stuck but not to verbally reveal which one it is. The coach and observer will try to guess whether it is an example of the effective state or not. Once they have guessed the explorer can validate or correct the guess.

Keep in mind that the purpose of this test is not to try to hide the answer but to learn to read each other better. One of the biggest problems that creative people have in working together is that they often interrupt each other’s process. It is important to be able to have the awareness to tell when somebody is available to be interrupted or not, in order to avoid interfering with or interrupting an important process.

## Recognizing and Monitoring Internal States

The ability to identify and recognize state shifts in yourself and others is a valuable skill and a great aid to communication and problem solving. By becoming more aware of the patterns and cues that influence internal states, we can increase the number of choices we have in responding to a particular situation. Once we are aware of the factors that define and influence the characteristics of our internal states we can sort them and ‘anchor’ them in order to help make them more available for use. Some of the methods used in NLP to sort and anchor internal states include: spatial location, color coding, indexing and labeling, and non-verbal cues.

In order to better recognize and understand your own internal states, and to assist in developing your capacity for state ‘selection’ and ‘management’, it is necessary to learn how to take an internal inventory of your neurological processes. There are three methods of doing this in NLP: physiology inventory, submodality inventory, emotion inventory.

A *physiological inventory* involves becoming aware of one’s body posture, gestures, eye position, breathing and movement patterns.

A *submodality inventory* involves noticing the sensory submodalities which are most prominent within our internal sensory experience, i.e. the brightness, color, size and position of mental images; the tone, timbre, volume and location of voices and sounds; and the temperature, texture, area, etc., of kinesthetic sensations.

An *emotion inventory* involves taking an account of the constellation of components that make up our emotional states.

Developing an ability to take inventory in all three ways leads to a greater flexibility along with the pleasant side benefit of increasing your mastery over the psychological states you inhabit. This allows you to make the appropriate adjustments if the state you are in is interfering with your ability to reach your desired outcomes.

As an example, as you sit reading this paragraph right now, place tension in your shoulders, sit off balance; allow your shoulders to press up towards your ears. A typical stress state. How is your breathing? Is this a comfortable state? Do you find the physiology useful for learning? Where is your attention? What beliefs about learning do you maintain in this state?

Now change position, move a little, maybe stand up and sit down again. Find a balanced, comfortable position. Move your attention through your body and release any excess tension, and breathe deeply and comfortably. Where is your attention in this state? What beliefs about learning are connected with this state? Which state is more conducive to learning?

As the simple exercise above illustrates, non-verbal cues are often some of the most relevant and influential aspects of monitoring and managing internal states. It is important to acknowledge the influence of behavior, even very subtle aspects of physiology, on people’s internal states. Different states or attitudes are expressed through different patterns of language and behaviors. It is important to realize that in situations in which you experience stress or conflict, for instance, you might express those attitudes even though you’re not aware of it. As you become aware of these kinds of cues, some of them become more obvious, especially in situations where people are acting spontaneously.

Physiology provides a powerful leverage to change people’s states and thinking processes. Thus, physiological patterns and cues are an important tool for state management. As an example, the founder of a large shipping company claimed that he used physical activities to help him mobilize the internal processes necessary to solve problems. For certain problems, he would have to go out and play golf to get into the frame of mind required to deal with the issues. For other problems, he would go out and ride his bicycle in order to think about it effectively. He was so specific about which type of physiology to use that he would say, “You can’t golf on that problem. That’s one that you have to ride your bicycle on.” The neurology required to organize particular physical activities stimulates and integrates other neurological processes. Riding a bicycle is an example of one way to activate and maintain a particular internal state.

Other methods for establishing and managing internal states include:

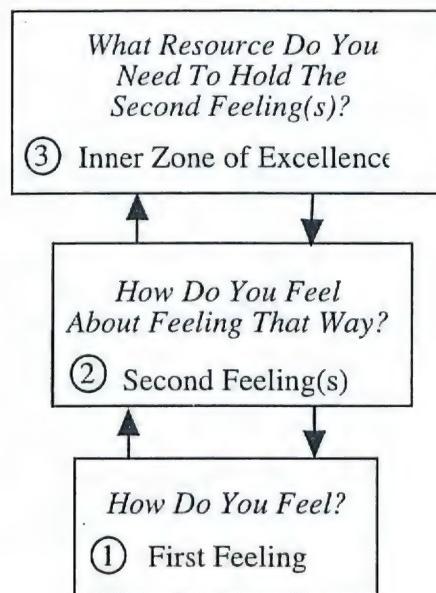
- a. using dissociation
- b. using submodalities
- c. accessing and anchoring a resourceful memory

## Gathering the Resources Necessary to Hold Difficult Feelings

Family therapist Virginia Satir used to frequently ask her clients two questions. The first was, "How do you feel?" A client might respond to this question by answering that he or she felt angry, sad, afraid, guilty, or some other type of difficult feeling. Then Virginia would ask a second question: "How do you feel about feeling that way?" The answer to this second question is quite significant and determines a lot about the impact and meaning the answer to the first question will have. It is quite a difference if someone feels good or curious about feeling angry than if that person feels guilty or frustrated about feeling angry. It is these second feelings that determine the ease and quality with which we are able to stay present and hold the first set of feelings.

The purpose of this exercise is to help you discover and apply the resources you need to stay present and hold difficult feelings that may arise and take you out of the present.

1. Identify a relationship situation in which you experience a difficult feeling that you are not able to hold and, consequently, makes you leave the present. Experience that feeling and allow your body to express it.
2. Step away from the location in which you were experiencing this difficult feeling and break you state by turning around, shaking your arms and legs, etc.
3. From a different physical location, reflect upon the you who is experiencing the difficult feeling. How do you feel about those difficult feelings? How do you feel about yourself for feeling them? What is your relationship with those feelings and with yourself when you have them?
4. Now step back to a third location. What resources (e.g., trust, acceptance, curiosity, strength, love etc.) could help you to more lovingly, respectfully and resourcefully hold the difficult feelings? What would allow you to hold these feelings that you have not been able to hold before?



5. Bring the resources you have identified fully into your body and being. (If you need to, you can facilitate this by finding reference experiences for these resources and reliving them as fully as you can.) Find a gesture and movement (somatic syntax) that expresses this resource and brings it present in your body.
6. Step back into the second location (the observer position). Don't attempt to change anything.

Just hold the feelings and responses associated with the second location within the larger field of the resource. Make the gesture and movement associated with the resource you have chosen. Notice what shifts in your perception and attitude toward the difficult feelings and the you who is feeling them in the challenging situation.

7. Now step into the location in which you placed the situation in which you experience the difficult feelings and bring the resources you have identified with you. Again, don't attempt to change anything. Just hold the feelings and responses associated with the second location within the larger field of the resource. Make the gesture and movement associated with the resource you have chosen. How do you feel now about those difficult feelings? What changes in your ability to hold those difficult feelings?

## Perceptual Positions

The NLP notion of *perceptual positions* was originally formulated by John Grinder and Judith DeLozier (1987) as operational extensions of the earlier NLP concepts of ‘referential index’, and Gregory Bateson’s concepts of “double” and “triple” description. Robert Dilts and Todd Epstein (1990, 1991, 1995 & 1996) later made further refinements relating to the distinctions between third position, meta position, observer position, “company” position, and fourth position (or “system” position).

The notion of perceptual positions in NLP has its roots in the concept of *referential indices* (*The Structure of Magic Volume I*, 1975), which are words that identify the persons or objects to which a particular statement is referring. One of the Meta Model processes, known as “the referential index shift technique” (p. 89) involved a linguistic shift in which one pronoun was exchanged for another. The example given by Bandler and Grinder is of a woman who claims, “My husband doesn’t appreciate me. . . My husband never smiles at me.” To “switch referential index” the person was asked, “Does *your* not smiling at your husband always mean that *you* don’t appreciate him?” The purpose was to help person to shift perspectives so that she could better understand and consider the generalization that she was making.

The development of *Meta Program* patterns in the late 1970’s brought with it a deeper exploration of some of this phenomenon. The earlier notion of the referential index shift in the meta model was contrasted with a *referential index switch* – which was essentially the equivalent of taking what would now be known as “second position.” This process was thought to be a less intense version of what was known as “deep trance identification,” in which a person would become identified with another to the point that he or she would lose ability to discriminate between ‘self’ and ‘other’ any longer.

One of the phenomena explored at this time was the experience of *simultaneous index*, or /multiple index, in which a person could take the perspective of several people simultaneously.

In the mid 1980’s Judith DeLozier and John Grinder established their formulation of First (self), second (other) and third (observer) positions. The usefulness of DeLozier and Grinder’s formulations was that they provided an operational process by which people could enter and experience each position, that could be connected with specific language patterns, physiology and internal representations (the three primary operators of NLP).

A “perceptual position” is essentially a particular perspective, or point of view from which one is perceiving a situation or relationship. NLP New Coding defined three basic positions one can take in perceiving a particular experience. *First position* involves experiencing something through our own eyes, associated in a ‘first person’ point of view. *Second position* involves experiencing something as if we were in ‘another person’s shoes’. *Third position* involves standing back and perceiving the relationship between ourselves and others from an ‘observer’ perspective. The notion of *fourth position* was added afterwards as a term to describe the sense of the whole system or ‘relational field’ (sense of a collective “we”) derived from a synthesis of the other three positions.

The basis for the various perceptual positions comes from the fact that relational experiences always involve more than one individual in the communication loop. The ability to understand the communication loop, and the ebb and flow of events that occur within the loop, is a powerful tool enabling people to both improve communication and produce ecological outcomes. Even when the participants within the communication loop do not agree, their relationship is enhanced and the possibility of future cooperation is created when they are able to shift perceptual positions in relationship to the interaction. This shifting of perceptual positions is referred to as “triple description” because there are, minimally, three different perceptual positions occurring within a communication loop at any time: those of me/myself (first position), the other individual (second position), and the witnessing of the interaction between these two (third position).

Like all other NLP distinctions, perceptual positions are characterized by specific physical, cognitive and linguistic patterns. These patterns are summarized in the following descriptions:

*First position* is you, standing in your own physical space, in your own habitual body posture. When fully associated in first position, you will use words like “me”, “I”, and “myself” when referring to your own feelings, perceptions and ideas. In first position, you are going through the experience of the communication from your own perspective: seeing, hearing, feeling, tasting and smelling everything that is going on around you and inside of you in that experience from an associated perspective. If you are truly in first position, you will not see yourself, but will be yourself, looking out at the world through your own eyes, ears, etc. You will be fully associated in your own body and map of the world.

*Second position* is being able to assume another person's perspective within the interaction. (If there is more than one other person in the interaction, there may be multiple 'second positions'). This is temporary, information gathering position in which you shift to another person's perceptual position, taking on his or her physical posture and world view, as though you were that person. You see, hear, feel, taste, and smell what the communication loop is like from that person's point of view; i.e., "walk a mile in his or her shoes," "sit on the other side of the desk," etc. In second position, you will be experiencing the world through another person's eyes, thoughts, feelings, beliefs, etc. In this position you will be dissociated from yourself and associated into another person. You will address your 'first position' self as "you" (as opposed to "I" or "me"), using "second person" language. Temporarily assuming another person's position is a wonderful way of evaluating how effective you are on your side of the communication loop. (After you have stepped into another person's perspective it is important to make sure you return to yourself fully, cleanly, and with the information which will aid you in your communication.)

*Third position*, or 'observer' position, puts you temporarily outside of the communication loop in order to gather information, as though you were a witness to, and not a participant in, the interaction. Your posture will be symmetrical and relaxed. In this position, you will see, hear, feel, taste, and smell what the communication loop is like from the position of an interested but neutral observer. You will use "third person" language, such as "she" and "he," when referring to the persons you are observing (including the one that looks, sounds and acts like you). You will be disassociated from the interaction, and in a type of "meta" position. This position gives you valuable information about the balance of behaviors in the loop. The information gathered from this perspective can be taken back to your own first position and use it, along with the information gathered in second position, to assist in enhancing the quality of your state, interaction and relationship within the communication loop.

*Fourth position* involves a synthesis of the other three perspectives, creating the sense of "being the whole system." It involves an identification with the system or relationship itself, producing the experience of being part of a collective, characterized by language such as "we" (first person plural). Fourth position is essential for producing a "group mind" or "team spirit."

In summary, perceptual positions refer to the fundamental points of view you can take concerning a relationship between yourself and another person:

*1st Position:* Associated in your own point of view, beliefs and assumptions, seeing the external world through your own eyes. Use first person language when talking about yourself – "I am seeing," "I feel," etc.

*2nd Position:* Associated in another person's point of view, beliefs and assumptions, seeing the external world through his or her eyes. Use second person language when talking about your self in first position – "You are", "You look," etc.

*3rd Position:* Associated in a point of view outside of the relationship between yourself and the other person with the beliefs and assumptions from both 1st and 2nd position. Use third person language when talking about your self in first position or the other person (2nd position) – "He is," "She says," "They are," etc. One common variation of 3rd position is *Observer Position*:, which involves being associated in a 3rd position perspective, but suspending any beliefs and assumptions related to either 1st and 2nd position, as if one was an uninvolved "witness."

*4th Position:* Associated in the whole system or 'field'. Experiencing the situation with the best interests of the system. Use of 1st person plural language – "We are," "Us," etc.

## Practicing Perceptual Positions

One way to develop a better sense for perceptual positions is through exploring "characterological adjectives." For example, think of someone you have a difficult time communicating with; or a situation that is not a creative or productive interaction, and doesn't bring out the best in you. You feel stuck in some way. Now imagine you are in a movie theater. See the person up there on the screen behaving the way they behave, and come up with a word to describe that person's behavior – a characterological adjective, a descriptor. Given all these bits of information of how this person is behaving, this is the way you would describe them. For instance, you might describe the other person as "Self-absorbed" or "Aggressive."

Now take a big, deep breath and see yourself up there on the movie screen in the loop with this person. Now you are in third position, watching and listening as a neutral observer. Observe the way you behave. What are the words you would use to describe your behavior? For example, when the other person is “self-absorbed,” you may become “withdrawn.” Or, if the other person is “aggressive,” you may become “defensive.”

You begin to see your part in the dance. They wouldn’t have any fun doing it by themselves and neither would you. This is what systems are about: getting a big enough piece of the interaction so that you can step back and say, “Oh, now I understand how I’m dancing with this person,” and realize what choices you have of changing the dance. From this position you can ask, “When I step back into the relationship with this new perspective, how can that information make a difference to the quality of that interaction?” If one part of the system begins to move, the whole system is going to move.

Another way of experiencing multiple perceptual positions, or “triple description,” that can be really fun and interesting, is in terms of creativity. Think of a piece of art that has really moved you in your life. It isn’t just something you look at and say, “Oh, that’s cool.” Rather it is a piece of art that you feel deep inside your soul. This is being in the position of appreciating that art from the perceptual position of the viewer. You can also do this with respect to hearing a piece of music, or watching a dance.

Now take the position of the artist who created it. Going to second position is a way in which we can start to stimulate that neurology within ourselves. When you occupy that perceptual position, begin to use the implicit muscle movements of the painter, the sculptor, or the composer in order to access similar kinds of neurology in yourself. It is there, it is just that you haven’t activated it in yourself in a long time. Then you can stand back and ask, “What are the differences between being a perceiver of this art and being the creator?” Do you have different beliefs when you are in the two positions? Do you have different beliefs about your ability to be creative when you are in the artist position versus the viewer position?

A third perceptual position would be to become the art itself. Most people report that, when they become the art work, they have a deep sense of just ‘being’.

Perceptual positions trigger off a whole set of other possibilities. The idea of triple description is that out of this dance of multiple perspectives, wisdom may begin to unfold. To really consider the movement from my personal map to an understanding of your personal map, and then to an objective position of the relationship, gives us a basis of wisdom. The ability to move to each of these positions cleanly and quickly can be a powerful tool.

Here are some exercises that will help you to practice the ability to move to each of the positions described above cleanly and quickly.

### Drill 1: Intention to Move – Learning Second Position

In pairs, **A** and **B**

1. **A** and **B** are seated across from one another. **A** begins by showing **B** a decision to move toward the left. **A** moves toward the left several times until **B** thinks that he or she ‘knows’ when **A** is going to move. **A** moves less and less until **B** ‘knows’ earlier and earlier **A**’s intention to move.
2. **A** moves toward the right several times until **B** thinks that he or she ‘knows’ when **A** is going to move. **A** moves less and less until **B** ‘knows’ earlier and earlier **A**’s intention to move.
3. **A** now chooses a direction in which to move: left or right and **B** guesses in which direction **A** has chosen to move. After **B** has been able to guess correctly with a 60% or more accuracy, move to feedback and exchange roles. If **B** is unable to guess correctly, repeat steps 1 and 2 above until **B**’s accuracy increases.
4. After both **A** and **B** have exchanged roles, repeat the step 3 while **B** has his or her eyes closed.
5. Discuss how do you knew the differences in the direction your partner was going to move.

## **Drill 2: Where Do You End and I Begin?**

In this drill, you are going to learn how to ‘walk in someone else’s shoes’. In order to make a true commitment to know another person through a second position shift, you have to be able to know who ‘me’ is and to know you are capable of returning to this ‘me’ at will.

In pairs, person A and person B. Person A takes on person B’s shoes. Choose someone who you sense is very different than yourself for this exercise so you will have a real basis for comparison when you are done.

1. Person A acting as him or herself, finds a particular ‘object of attention’ in the room; for instance a book, a tree outside the window, etc. Person A notices where his or her attention is drawn (In other words, notice what you notice). Person B, as him or herself, studies that same object and notices what he or she notices about this object. Person A and person B should not exchange information about their awarenesses. Person A then begins by anchoring ‘me’ to a location in the room. “I am (here on this chair) and I will be right back.”
2. Person B goes for a walk for 15 to 20 minutes. Person A follows person B and mirrors and matches person B as closely as possible; for instance: gait, breathing pattern, body position. Person A follows person B in this fashion, allowing his or her attention to be taken wherever person B’s attention is drawn, mimicking all of person B’s gestures, etc.
3. Person B ends his or her walk by returning to the original object of attention in the room.
4. Person A anchors the state of ‘being B’ (the state of second position) in some way. Person A then looks at the original object of attention. Person A notices where his or her attention is drawn now. What are the differences? Note these to discuss later.
5. After person A has gathered information in the state of ‘being B’, person A then returns to his or her spatial anchor initially set for ‘me’. Person A allows him or herself to fully return to ‘me’. Person A tests his or her second position anchor (‘being B’) as a check before exchanging roles with person B now playing A’s role. Person A makes sure he or she is fully ‘me’ before exchanging roles.
6. Exchange feedback and switch roles.

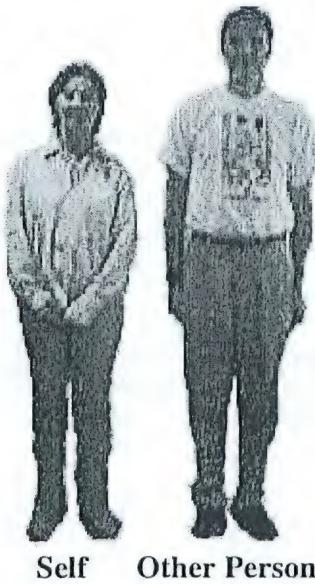
## **Drill 3: Extension of Self – Three Points of Attention**

In pairs, A and B, for fifteen minutes.

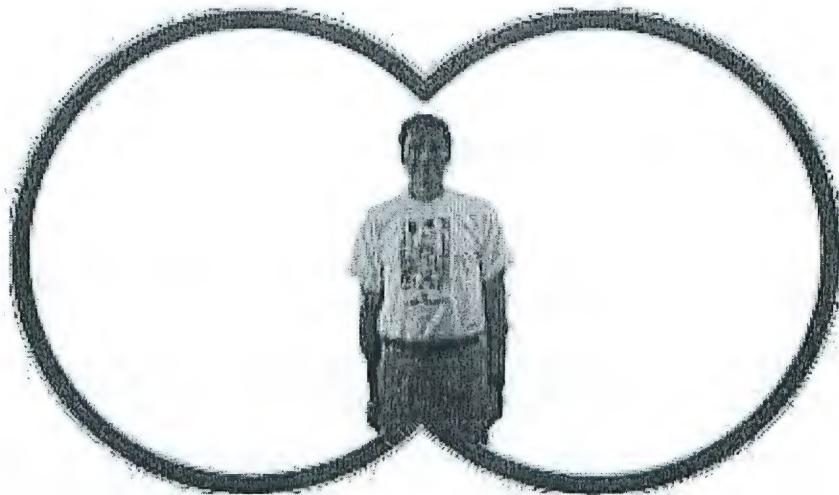
1. A and B should sit facing one another with hands on thighs. A and B should both take an inventory of his or her internal state(s). Just allow yourself to be aware of ‘you’.
2. Next, A places his or her attention on B’s eyes, as B places his or her attention on A’s eyes. As each of you becomes more comfortable, maintain your attention on each other’s eyes.
3. Next, allow your attention to also take both your own and your partner’s hands. As each of you becomes more comfortable, maintain your attention on each other’s eyes, your own hands and your partner’s hands.
4. Continue the process, noticing what you notice, until ‘time’ is called.
5. Take a moment to inventory your internal state before you return to ‘you’.
6. Exchange feedback regarding this experience.

## Perceptual Positions Exercise

1. Think about a relationship that you have with someone you consider a mentor or 'sponsor'.

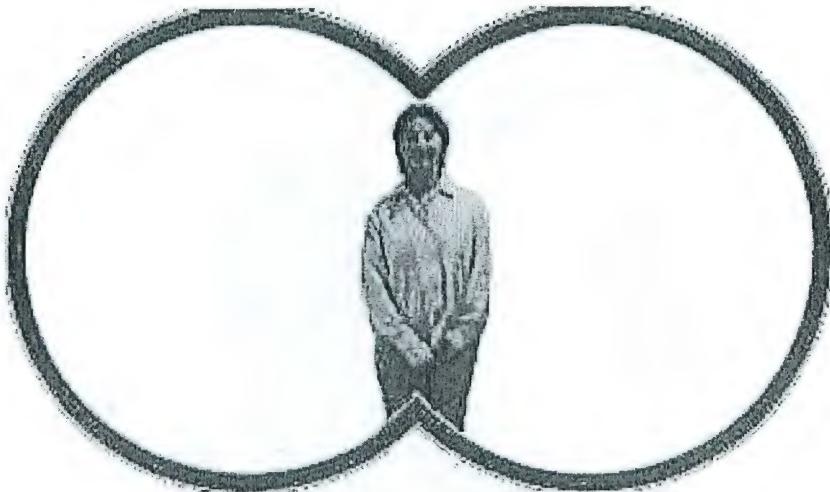


2. Put yourself fully into 1st position by imagining that the other person is here right now and that you are looking at him or her. Describe the other person and your feelings about the other person using first person language.



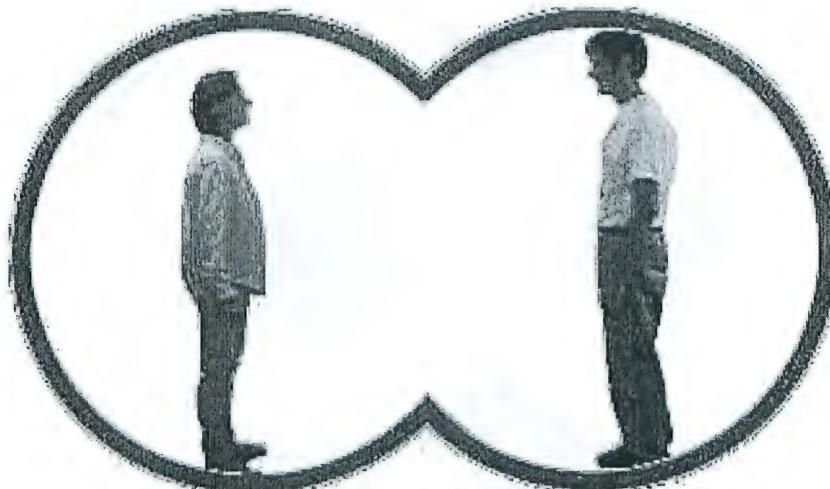
**First Position Perspective**

3. Now imagine you are "in the other person's shoes" looking at your self in 1st position. Assume the perspective, beliefs and assumptions of the other person as if you were that person for moment. From this perspective describe the you that is in 1st position and your feelings about that person using second person language when you refer to the 1st position you.



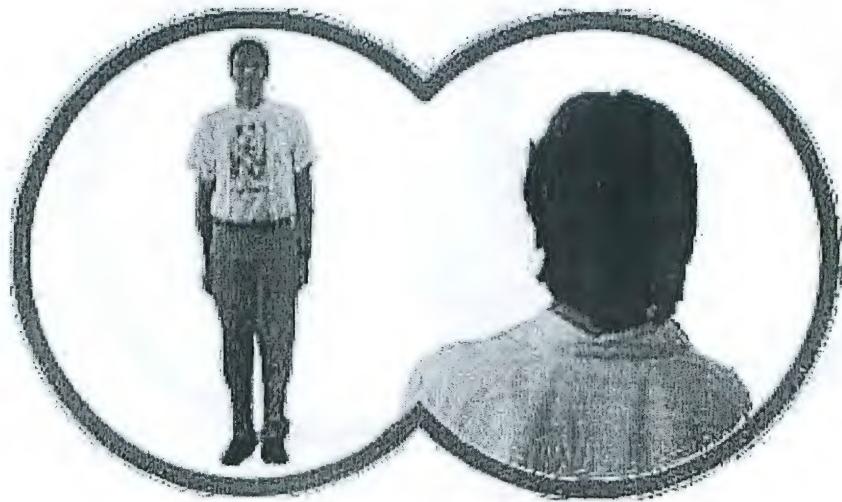
**Second Position Perspective**

4. Now view the relationship between yourself and the other person as if you were watching a movie of both of you interacting. Keep in mind what you have experienced about the perspective, beliefs, assumptions and feelings of both yourself and the other person.

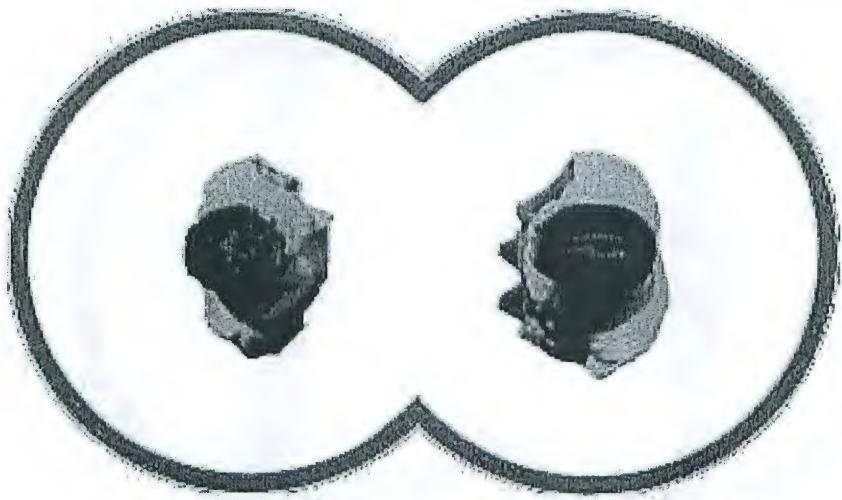


**Third Position Perspective**

5. Staying in this point of view focus only on what you know about the beliefs and assumptions of only your first position perspective.
6. Stay in this 3rd position point of view, but view it as if you did not know either of the people in the "movie."
7. Explore the following two other perspectives and notice how they influence your experience of the relationship.



**Over the Shoulder View**



**"Helicopter" View**

## Field

The notion of “field” as a type of space or energy, produced by relationships and interactions in a system, is an important concept in Third Generation NLP.

In physics, a field is defined as “a region of space characterized by a physical property, such as gravitational or electromagnetic force or fluid pressure, having a determinable value at every point in the region.” A field, in physics, relates to the movement of energy through a widely disbursed area of space. An electromagnetic field, for instance, is typically represented in terms of “lines of force” that extend out infinitely in every direction which produce an influence on objects in the “field” created by those lines of force. It is the gathering of these lines of force that determines the density and intensity, and thus the influence, of the field.



**In Physics, a Field Is Represented as ‘Lines of Force’ Extending Out into Space**

This stands in contrast to the notion of a “particle,” which is an object that exists only in a very specific point in space. A field is less tangible than a particle, and is more about movement and relationships than “things” themselves.

The idea of a physical field has important implications (both direct and metaphorical) for psychology and NLP. Hypnotherapist and early NLP explorer Stephen Gilligan (1997) talks about a felt “relational field” that exists between human beings, which he considers a fundamental and necessary aspect of change and healing. German family therapist Bert Hellinger (1996) bases his work on the notion of a “family field” that extends into the entire history of a family systems, and includes the influence of members that are no longer living. The overall purpose of many NLP New Coding distinctions was to shift the focus of attention in NLP from specific elements in an interaction to the larger relational “field” of interaction between elements.

In Third Generation NLP, the notion of “field” is most characterized by the “fourth perceptual position,” or “We” position. first, second and third perceptual positions (self, other and observer) relate to the significant elements in a system of human interaction, which define the “space” of the interaction. The relational “field” is created by the patterns of relationship and interaction which occur in that space. This “field” is often shaped by the “psychogeography” between the individuals in the interaction. The shift of focus from “element” to “field” is a natural extension of the NLP emphasis on form over content. The notion of “field” is reflected in Gregory Bateson’s claim:

*The individual mind is immanent but not only in the body. It is immanent in pathways and messages outside the body; and there is a larger Mind of which the individual mind is only a sub-system. This larger Mind is comparable to God and is perhaps what people mean by “God,” but it is still immanent in the total interconnected social system and planetary ecology. —Gregory Bateson (*Steps to an Ecology of Mind*, 1972)*



## Anchoring

In NLP, “anchoring” refers to the process of associating an internal response with some environmental or mental trigger, so that the response may be quickly, and sometimes covertly, reaccessed. Anchoring is a process that on the surface is similar to the “conditioning” technique used by Pavlov to create a link between the hearing of a bell and salivation in dogs. By associating the sound of a bell with the act of giving food to his dogs, Pavlov found he could eventually just ring the bell and the dogs would start salivating, even though no food was given. In the behaviorist’s stimulus-response conditioning formula, however, the stimulus is always an environmental cue and the response is always a specific behavioral action. The association is considered reflexive and not a matter of choice.

In NLP this type of associative conditioning has been expanded to include links between other aspects of experience than purely environmental cues and behavioral responses. A remembered picture may become an anchor for a particular internal feeling, for instance. A touch on the leg may become an anchor for a visual fantasy or even a belief. A voice tone may become an anchor for a state of excitement or confidence. A person may consciously choose to establish and retrigger these associations for him or herself. Rather than being a mindless knee-jerk reflex, an anchor becomes a tool for self empowerment. Anchoring can be a very useful tool for helping to establish and reactivate the mental processes associated with creativity, learning, concentration and other important resources.

The notion of “anchoring” emerged in NLP when Bandler and Grinder were first modeling the hypnotic techniques of Milton Erickson. Erickson often used or suggested particular cues as posthypnotic triggers to help a person change his or her internal state or reaccess a hypnotic trance. Grinder and Bandler generalized the use of these cues and triggers to include other types of internal processes, without the need of initially establishing a hypnotic state. By 1976 the first NLP anchoring techniques (such as collapsing anchors) were developed.

It is significant that the metaphor of an “anchor” is used in NLP terminology. The anchor of a ship or boat is attached by the members of the ship’s crew to some stable point in order to hold the ship in a certain area and keep it from floating away. The implication of this is that the cue which serves as a psychological “anchor” is not so much a mechanical stimulus which “causes” a response as it is a reference point that helps to stabilize a particular state. To extend the analogy fully, a ship could be considered the focus of our consciousness on the ocean of experience. Anchors serve as reference points which help us to find a particular location on this experiential sea and to hold our attention there and keep it from drifting.

The process of establishing an anchor basically involves associating two experiences together in time. In behavioral conditioning models, associations become more strongly established through repetition. Repetition may also be used to strengthen anchors as well. For example, you could ask someone to vividly re-experience a time she was very creative and pat her shoulder while she is thinking of the experience. If you repeat this once or twice, the pat on shoulder will begin to become linked to the creative state. Eventually a pat on the shoulder will automatically remind the person of the creative state.

### *Well-Formedness Conditions for Anchoring*

The “Well-Formedness Conditions” for anchoring summarize the key elements necessary for establishing an effective anchor. They essentially relate to important characteristics of both the stimulus and response one is attempting to pair up, to the relationship between stimulus and response, and to the context surrounding the stimulus and response.

#### **1. Intensity and “Purity” of the Response**

Intensity has to do with how fully a particular state or response has been accessed. Even from Aristotle’s time it was observed that the more vivid and intense a particular response was, the more easily it was remembered, and the more quickly it became associated with other stimuli. It was easier for Pavlov to “condition” hungry dogs to salivate, for example, than satiated dogs. If a person has accessed only a small amount of the state or experience you are anchoring, then the anchor can only be associated with that particular amount. Incidentally, “intensity” does not simply have to do with a person’s degree of emotional arousal. A person may be in a very strong disassociated state, in which he or she feels no emotional reaction at all.

“Purity” of response has to do with whether or not the response or experience you are attempting to anchor has been “contaminated” by other irrelevant or conflicting thoughts, feelings or reactions. It is possible that a person may very intensely experience the state to be anchored, but also mix it with other states and experiences. Another way to state this condition is that you will get back exactly what you anchor. As they say in the parlance of computer programming, “Garbage in, garbage out.” If reaching out to anchor someone with a touch makes him or her suspicious, then that suspicion becomes part of the state that is anchored. If you ask a person to think of something positive, but that person is recalling a disassociated memory of the event, and judging whether or not he or she has chosen the right event, then you will be anchoring disassociation and judgment.

## 2. Uniqueness of the Stimulus used as the “Anchor”

The condition of “uniqueness of stimulus” relates to the fact that we are always making associations between cues in the world around us and our internal states and reactions. Some stimuli are so common that they make ineffective anchors, largely because they have already been associated with so many other contexts and responses. Shaking hands or touching a person’s shoulder are much less unique stimuli than a touch on the middle digit of the little finger. Unique stimuli make better and longer lasting anchors.

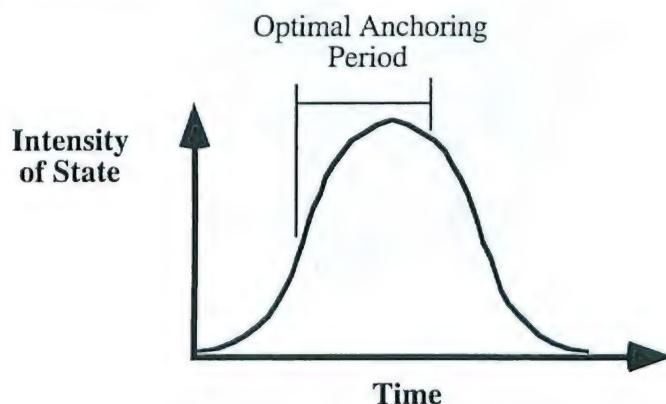
It is important to note that “uniqueness” is not the same as “intensity”. A more intense stimulus is not necessarily a more effective anchor. A more intense stimulus may be unique, but very subtle, even unconscious stimuli (such as the subtle smells and sensations that trigger allergic reactions), may be unique and thus very strong anchors.

## 3. Timing of the Pairing of Stimulus and Response

The relationship in time between stimulus and response is one of the key conditions of effective association. According to the basic ‘laws’ of association, when two experiences occur close enough together a sufficient number of times, the two experiences become associated with one another. Studies involving classical conditioning have shown that this association proceeds only forward in time; that is, the stimulus (the bell) must precede the response (salivating when eating food).

There also seems to be an optimal interval at which various types of associations are most easily made. For quick reflexes such as an eyeblink, this interval is about one-half second; longer or shorter intervals are less effective. For slower reactions such as salivation the interval is longer, perhaps two seconds or so. In learning verbal associations timing is much less critical than in classical conditioning. Verbal pairs are learned with almost equal ease whether presented simultaneously or separated by several seconds.

In NLP, the optimal anchoring period is determined in relationship to the peak of the intensity of the response or state one is anchoring. It is generally taught that the stimulus should be initiated when the response to be anchored had reached about two-thirds of its peak. If possible, the anchoring stimulus should be held until just after the state has stabilized or begins to diminish. In this way, the association is created between the stimulus and the crest of the response. To do this, the response must be “calibrated,” so that the behavioral characteristics of the response are known before the anchoring is attempted.



**It is Best to Provide the Anchoring Stimulus Just Before the Intensity of the Response Reaches Its Peak**

The following sequence of photographs illustrates how to establish a 'kinesthetic' anchor by touching a person as he or she enters a positive state. The intensity of the state is reflected in the body posture and 'accessing cues' of the individual being anchored.



Eliciting the State to be Anchored



Establishing the Anchor when the State Reaches its Peak



Releasing the Anchor when the State is Past its Peak

#### 4. Context Surrounding the Anchoring Experience

Context is an important influence on anchoring that is often ignored. The context or environment surrounding an interaction contains many cues which may effect the anchoring process. Even though they are not the primary focus of attention, environmental cues can become anchors. In what

is called “context association,” the general environment may begin to elicit a response that is being conditioned to a specific stimulus. (Context association is the basis for “locational anchors.”)

It is interesting to note, in this regard, that Pavlov first accidentally discovered the notion of conditioned reflexes as a result of contextual conditioning. For his research on digestion, Pavlov needed to collect saliva from his laboratory animals. He stimulated saliva flow by placing meat powder in the dog’s mouth; soon he noticed the dog would begin salivating at the sight of the experimenter, in the expectation of receiving meat powder.

In some cases, contextual stimuli may combine with the primary anchoring stimulus, making the environment part of the overall anchoring experience. Because of this, many anchors are “context dependent.” That is, they work more effectively in the context in which they were initially established.

The influence of context relates to the process of ‘Learning II’. In addition to being part of the anchoring stimulus, context shapes perceptual filters and attention. Anchoring is a classical ‘Learning I’ process, but humans and animals are not robots. Whether or not a context is interpreted as being “safe,” “important,” “unfamiliar,” “a learning context,” “a place to explore,” etc. will determine which type of stimuli people pay attention to, and how readily and easily certain types of anchors will be established. From this perspective it is important that the rapport between the individuals involved in the anchoring process and the environment be conducive to the type of anchors one intends to establish.

### Exercise: Anchoring a “Resource” State

The following exercise applies the process of anchoring, and the “well-formedness” conditions for establishing an anchor, to the creation of “resource anchor.” It is best practiced in a location where you can be focused and undisturbed.

Step 1. Choose a resourceful state you would like to experience more often (e.g., self-confidence). Identify a specific time in which you fully experienced that state.

Step 2. Relive the experience, associating yourself fully in your own point of view. See through your own eyes, hear through your own ears, and feel the sensations in your body. Take an inventory of the cognitive and behavioral patterns, both obvious and subtle, associated with the resource experience and your internal state:

- a) *Listen* to any sounds or words associated with the resource experience.
- b) *Look* through your mind’s eye at scenes and details of objects and events which make up that resourceful experience.
- c) *Get in touch* with the sensations, both emotional and tactile, associated with feeling resourceful. Notice your body posture, breathing, etc.
- d) Recall any *smells* or *tastes* related to the resource experience.

When you have finished your inventory, stop thinking of the experience and shake off the state.

Step 3. Select a unique self anchor. Identify some part of your upper body that is easy for you to touch but which is not usually touched during daily interactions. For example, the palms of your hands, your shoulders, and even your cheeks are often touched by yourself or others in the natural course of daily interaction. Therefore, they do not usually make a unique enough trigger for an effective and lasting anchor. On the other hand, your ear lobe, the knuckle of your ring finger, or the skin in between your forefinger and middle finger can provide areas of unique stimuli that will not be “contaminated” by more random contact.

Step 4. Begin to reaccess the resource experience. As you feel that the state is about to reach its maximum intensity, touch or squeeze the part of your body that you have chosen as your anchor. Adjust the pressure of your touch or tightness of your squeeze to match the degree of intensity of your feeling of the resource state.

After you have done this for a few seconds, stop thinking of the experience and shake off the state.

**Step 5.** Repeat ‘Step 4’ several times, each time enhancing your experience of the resource state by amplifying any submodalities (color, movement, brightness, etc.) associated with the state, and including all representational modalities (sight, sound, feeling, movement, smell and taste).

**Step 6.** Test your anchor by clearing your mind and simply touching or squeezing your self anchor location. The associated experience of your resource state should arise spontaneously without any conscious effort. Continue to repeat steps 4 and 5 until you have easy access to your resource state.

**Step 7.** Identify some of the situations in which you would like to have more of your state. Imagine being in each situation and touch your self anchor in order to create an automatic association.

As you do this exercise, pay attention to the cues and distinctions that allow you to access and discriminate between the representational systems you are accessing and the state you are creating.

You may also wish to establish anchors for yourself in this way for other states or experiences such as relaxation, creativity, motivation, etc. In a way, the pattern of this process is that embodied by all biofeedback: A certain state is selected and identified. As the individual accesses that state he is given feedback for it by way of a particular stimulus—the tightness of the grip in this case (**K<sup>e</sup>**); it is done through tones (**A<sup>e</sup>**), or by intensity or color of light or the position of an arm on a dial (**V<sup>e</sup>**) in other biofeedback processes. After a while the feedback stimulus and the target state become associated (the stimulus becomes an anchor for the state) so that the mere presentation of the feedback stimulus anchors and contributes to the development of the target state.

#### *Internal Anchors*

You may want to experiment with internal anchors as well. For instance, if you wish to be able to access a state of relaxation easily you can begin by imaging a color vividly in your mind’s eye. Begin to allow your body to relax as much as possible, lowering your breathing and relaxing any tense muscles. As you reach the state you desire, watch the color change to a color that most exemplifies that state for you (from orange to blue for example). You may also wish to allow the color to change configuration (watch it drip down into your stomach as it changes color). Keep practicing until you are able to access the state of relaxation by simply imagining the color. Then, when you notice you are tense or anxious, and you wish to have a choice about the condition, all you need to do is simply close your eyes momentarily, take a deep breath and imagine the color, and it will access the desired state.

Many forms of meditation involve auditory anchors like mantras and chanting to access downtime states or relaxation. The words or sounds are repeated as the individual enters the state. Later, repeating the sounds will readily anchor up the designated state.

#### *Extinguishing an Anchor*

A common question that people have is, “How long does an anchor last?” The answer to that question relates to how many of the “well-formedness conditions” for anchoring it meets. An anchor made of an intense response, a unique stimulus, a well-timed association and which has been appropriately contextualized can last a very long time. According to Pavlov, some of the conditioned reflexes of his dogs were only extinguished with the death of the animal.

This holds true with negative anchors (such as phobias) as well as positive anchors, however. Sometimes it is useful to have a way of changing or “extinguishing” an anchor. NLP provides a number of ways to have more choices about automatic anchors.

One of the most common methods of extinguishing an anchor is through the process of “systematic desensitization.” This involves first entering a neutral or disassociated state, and then introducing the “problem anchor” in small ‘doses’. If someone experiences anxiety at seeing algebraic equations, for example, he or she would first be instructed to close his or her eyes and get into a very relaxed or confident state. Then, the person would open his or her eyes very slowly and look at the equations for only a brief period and see if he or she were able to stay in the relaxed or confident state. If not, the person simply closes his or her eyes again, re-enters and strengthens the relaxed or confident state, and tries again until he or she is able to look at the equations and maintain the positive state.

Another strategy to “reprogram” an anchor is to “collapse” the anchor with some other anchor or experience by simultaneously firing off two anchors together. In this case it is important to be sure that the state experience associated with the other anchor is of at least equal intensity and strength to the one you are changing (see *Collapsing Anchors*). Anchors which trigger beliefs, for instance, will need to be paired with other beliefs in order to have an effect.

Anchors may also be “reframed” by placing them in contexts which shift the way they are interpreted or experienced. The NLP techniques of V-K Disassociation, Chaining and Change Personal History provide other ways of “extinguishing” or transforming problematic anchors.

### **Collapsing Anchors**

The process of ‘collapsing anchors’ (also known as “integrating anchors”) involves stimulating the natural process of associative correction by using anchoring to connect a problem state to an appropriate resource experience. Collapsing anchors was one of the first anchoring techniques (and, indeed, one of the first NLP techniques) developed by NLP founders Bandler and Grinder. It involves (a) establishing an anchor for a resource state, (b) establishing a second anchor for a context or situation in which the person desires to have this resource state, but currently does not, and (c) “firing” both anchors simultaneously to create a ‘psychophysiological’ link between the resource and the representation of the context in which it is needed.



**Establishing a Resource Anchor on the Left Knee**



**Establishing an Anchor for a Problem State on the Right Knee**



### **“Collapsing” the Anchors by Touching Them Both at the Same Time**

There are several variations of the ‘collapsing anchors’ process. It is sometimes used to bring together positive and negative states, or to integrate conflicting parts of a person. The technique was designed, however, to address situations requiring fairly simple, ‘first order’, behavioral change and may not be ecological for more complex or difficult issues.

The following exercise involves a basic ‘collapsing anchors’ procedure that will help to give you a feel for the essential steps of the process.

#### **Collapsing Anchors Exercise**

1. Sit down with someone you can be comfortable with and ask the person to tell you about a time when he or she was particularly resourceful, creative and confident.
2. As the individual remembers and recounts this experience, reach out and kinesthetically anchor it by placing your left hand on his or her right knee. Use your sensory abilities as feedback to be sure that you are only touching the person’s knee when the person is accessing the experience he or she is describing.
3. (Optional). Get a complete representation for the experience by taking the person through each of his or her sensory systems, focusing both internally and externally, and checking which are operating during the state.  
Use your sensory experience to make sure that the person is checking each of these systems, and calibrate to make sure all accessing is of the same intensity. As the individual accesses each portion of the experience anchor each one on the right knee.
4. Continue to test and reinforce the anchor until you are satisfied that it has been solidly established. It is not necessary that the individual know consciously what you are doing for the anchor to be effective. Nor will the person’s awareness of what you are doing interfere with the process, unless it is keeping him or her from accessing the information you want. It will be up to you to decide whether to tell the person what you are doing or not. (You may also wish to have the person establish a self controlled anchor as a resource.)
5. Next, ask the individual if there is some situation or task in which that person typically finds himself or herself to be inefficient or blocked from having the resource state he or she has been discussing. As the individual discusses the situation, anchor it by reaching out with your right hand and placing it on the person’s left knee. Again, use your sensory experience to make sure you are anchoring at the appropriate times.
6. (Optional) Repeat the process of getting a full representation of this second state, anchoring each aspect of the experience as you observe it come up by touching the person’s left knee.
7. Keep testing and reinforcing the anchor until you are satisfied that it has been solidly established

8. Reach out with both hands and touch off both anchors simultaneously. This will force the two patterns of behavior into the same time and space neurologically such that a third pattern of behavior will be formed that integrates the other two. The resource experience will be combined with the inefficient experience, and the individual will typically spontaneously generate new choices of behavior in the previously problematic situation.
9. Test the integration by having the person imagine being in a situation in which he or she has typically been ineffective or blocked from having the desired resource state. If the person is continuing to experience difficulty having access to the resource state, then either repeat the process or shift to a different NLP process, such as using reframing to seek any positive intentions or secondary gains associated with the problematic situation.

Another way to test the “integration” of the anchors is by touching the location of the ‘problem state’ anchor and noticing what response occurs. If the ‘collapsing anchors’ process has been successful, you should observe the physical cues associated with the resource state instead of the problem state.

This exercise involves the use of tactile anchors. It is also possible to use visual, auditory and olfactory anchors. You can generate these anchors through your own behavior, with gestures and tonal and tempo changes, and also use other available stimuli.

For example, you may use almond and vanilla extract as olfactory anchors. For a visual anchor you may instruct an individual to fold a piece of paper in half and on one side have the person draw a picture representing himself in a problematic state. The kinds of questions listed earlier would be asked to elicit a full representation that would become anchored to the drawing. Then have the individual turn the half-page over and draw a picture representing a resourceful state, again eliciting a full representation. Finally, have the individual open the paper so that both sides are showing simultaneously. This will visually accomplish the same result as the simultaneous firing of the two kinesthetic anchors.

The same process may also be undertaken by having the individual choose two songs or pieces of music that are representative of the two states in question, by eliciting a full representation as the song being played, and then playing both of the songs simultaneously.

The exercise presented above involves starting with a resource and then seeking a context or situation in which it is desirable to have access to that resource. Collapsing anchors can also be used ‘remedially’, in which an anchor is first established for some problematic response or circumstance. The appropriate resource may then be identified and anchored as a second step. The following is a summary of the sequence of steps that may be used in this version of collapsing anchors.

### **Summary of the Steps of the Integrating or “Collapsing” Anchors Process**

Check for rapport before starting.

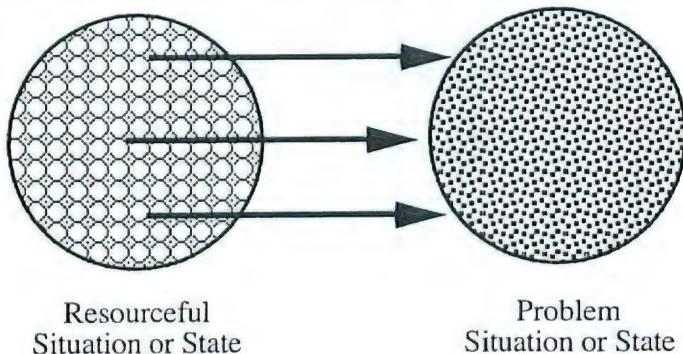
1. Establish an anchor for the problem state [A1]. Calibrate the physiology [P1].
2. Elicit a ‘separator state’. This may be done by having the person stand up and turn around, or by asking him or her an irrelevant question such as, “Where did you buy your shoes?” (A ‘separator state’ is an irrelevant or neutral state which serves the purpose of assisting the person to shift his or her physiology from that associated with the problem state, so that no residual aspects of the problem state are remaining which might ‘contaminate’ the next step in the anchoring process.)
3. Test the anchor, i.e., when you “fire” A1 you should observe P1.
4. Elicit another ‘separator state’ (e.g. Ask, “What is your telephone number backwards?”).
5. Establish an anchor for a powerful resource state [A2]. Calibrate the physiology [P2].
6. Elicit another separator state.
7. Test the anchor. When you “fire” A2 you should observe P2.
8. Elicit another separator state.
9. Check ecology.
10. ‘Fire’ both anchors simultaneously [A1 + A2].
11. Calibrate the integrated state [P1 + P2].
12. Test the integration by ‘firing’ off the anchor for the problem state [A1]. If the integration has been successful, you should see either the integrated physiology [P1 + P2] or the resourceful physiology [P2] when you fire anchor A1.

## Self T.O.T.E. Questionnaire

1. Write a brief description of a personal task involving one or two others relating to your own professional /role where maintaining state is important for:
  - a) Accomplishing a task
  - b) Responding to problems
  
2. What goals or objectives, in relationship to your personal state, do you have for that context? (List them in short sentences or key words.)
  
3. What will you use as evidence to know you are maintaining your desired state? (Describe your evidence below in sensory based terms.)
  
4. What specific actions will you engage in to keep your state – what are some specific steps and activities you plan to use to maintain your desired state in that context? (List them below.)
  
5. If you experience unexpected problems or difficulties in achieving your goals in this context what specific alternative activities or steps can you take to insure that you maintain your desired state?  
*e.g. resistance, misunderstanding, time constraint, disagreement/conflict of others*

## Mapping Across

*Mapping across* is a term used in NLP to describe the process of transferring features or elements from one strategy, state or situation to another. In NLP, the process of “mapping across” is a basic Utilization technique in which certain formal characteristics (as opposed to contents) of one state or situation (such as a resource state) are transferred to another state or experience (such as a problem state), in order to precipitate change or produce a solution. Mapping across is typically done in conjunction with a Contrastive Analysis, in which processes and features of two experiences or situations are compared for similarities and differences. Certain characteristics of one state are then transferred to the other through NLP processes such as anchoring, verbal guidance, or by triggering them through the physiological accessing cues associated with them.



**In “Mapping Across” Features and Elements of One State or Situation are Transferred to Another in Order to Create Change or Find a Solution**

Thus, the mapping across process involves several steps:

1. The identification of the states or situations to be contrasted.
2. Experiencing each of the states from an associated position.
3. Comparing and contrasting the experiences in order to elicit and identify key differences in the formal characteristics (i.e., representational systems, submodalities, accessing cues, etc.) of the two states or situations.
4. Alter the characteristics of one of the states or situations (a stuck state, for example) to incorporate key features of the other (resourceful) state or situation. This can be accomplished through verbal suggestion, anchoring, or the use of accessing cues.

While the process can be applied in relation to practically any set of features or distinctions, it is most often used in reference to a problem situation or stuck state, and a resourceful state or experience.

In the exercise below, mapping across is used to bring humor into a situation that one has taken too “seriously.” The purpose of this exercise is to help you change your perception of a particular situation so that you can respond to it more flexibly and resourcefully.

### Exercise: Mapping Across Submodalities from “Serious” to “Humorous”

1. Remember an experience which seemed very serious at one time, but when you think of it today you find it humorous or funny.
2. Elicit the submodalities associated with this memory. What makes the experience seem “funny” now? Is it the size? Color? Quality of movement? Tone? Distance? Etc. What are the qualities of the feelings associated with the memory? Where in your body do you feel them? Are they warm? Tingly? Moving? Etc.

3. Break state (by moving around or shaking yourself), and think of something which you are currently taking very "seriously," and would like to be able to experience with more of a sense of humor. Elicit the submodalities this "serious" situation. What makes the experience seem so "serious?" How is the size, color, quality of movement, tone, distance, etc., different from the humorous experience? What are the qualities of the feelings associated with the "serious" experience? Where in your body do you feel them? How are the qualities of these feelings different from those associated with the humorous experience?
  
4. Change the submodality qualities of the "serious" experience to match the submodality qualities of the situation the memory of the situation that used to be "serious" but now seems "humorous." Notice how your experience changes. Which submodality qualities seem to make the most difference?

If you do this exercise with a partner, it is fun to try on each other's submodalities for humor. Change the submodalities of your "serious" situation to match those of your partner's humorous memory.

State 1 e.g., "Humor"	State 2 e.g., "Serious"
<p><b>Visual</b></p> <p>Bright &lt;-&gt; Dim  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Large &lt;-&gt; Small  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Close &lt;-&gt; Distant  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Clear &lt;-&gt; Hazy  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Colorful &lt;-&gt; Black and White  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Associated &lt;-&gt; Disassociated  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  3 Dimensional &lt;-&gt; Flat  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p><b>Visual</b></p> <p>Bright &lt;-&gt; Dim  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Large &lt;-&gt; Small  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Close &lt;-&gt; Distant  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Clear &lt;-&gt; Hazy  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Colorful &lt;-&gt; Black and White  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Associated &lt;-&gt; Disassociated  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  3 Dimensional &lt;-&gt; Flat  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p><b>Auditory</b></p> <p>Loud &lt;-&gt; Quiet  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  High Pitched &lt;-&gt; Low Pitched  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Left Side &lt;-&gt; Right Side  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Quick Tempo &lt;-&gt; Slow Tempo  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Close &lt;-&gt; Far  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Primarily Verbal &lt;-&gt; Primarily Tonal  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p><b>Auditory</b></p> <p>Loud &lt;-&gt; Quiet  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  High Pitched &lt;-&gt; Low Pitched  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Left Side &lt;-&gt; Right Side  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Quick Tempo &lt;-&gt; Slow Tempo  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Close &lt;-&gt; Far  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Primarily Verbal &lt;-&gt; Primarily Tonal  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>
<p><b>Kinesthetic</b></p> <p>Strong &lt;-&gt; Weak  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Large Area &lt;-&gt; Small Area  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Heavy &lt;-&gt; Light  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Smooth &lt;-&gt; Rough  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Constant &lt;-&gt; Intermittent  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Hot &lt;-&gt; Cold  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>	<p><b>Kinesthetic</b></p> <p>Strong &lt;-&gt; Weak  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Large Area &lt;-&gt; Small Area  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Heavy &lt;-&gt; Light  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Smooth &lt;-&gt; Rough  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Constant &lt;-&gt; Intermittent  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Hot &lt;-&gt; Cold  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p>

### Mapping Across Submodalities Work Sheet

## R.O.L.E. Model Utilization

Utilization of a strategy is primarily done by contrasting an effective with an ineffective example of the relevant contexts and strategies. It is helpful to spatially sort the two states by literally locating them in different physical locations. You actually move to a different place in the room as you are thinking of the two situations. This physical sorting process also keeps the two states from overlapping or mixing together before you are ready.

Another helpful procedure is to establish what is called a “meta position” in NLP. A meta position is a physical location that is separate from either of the two states you are examining – where you can think about them without being overly involved or associated into either one. When you are comparing the two experiences for differences and similarities, it is best to do it from meta position.

1. Select a **specific physical location** somewhere in front of you to your right. Step into this location and associate into the experience where you have been able to act effectively and silently **relive** it.

The observer should note any significant the physical clues associated with the experience (i.e., body posture, eye movements, gestures).

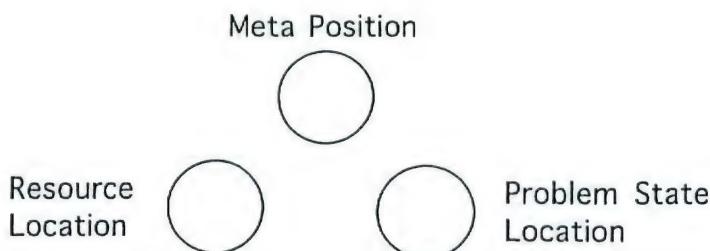
2. Sometimes it helps to identify and relive one or two other examples of the effective strategy. Continue to use the **SAME** physical location to relive each resource experience.

The observer should note any similarities or patterns between the physical clues associated with all of the creative examples.

3. Identify a past or ongoing situation where you want to be more effective or flexible, but experience difficulty. Select a **DIFFERENT physical location** from your effective examples, associate into that experience and silently relive it.

Observer notes the **most significant differences** between the physiology associated with the problem situation and effectively creative situations.

4. From **Meta Position** compare the problem and resourceful situations and notice what is different in regard to the internal R.O.L.E. model distinctions (representational systems, submodalities, synesthesias, etc.). Especially notice differences in the basic T.O.T.E. functions – how is the goal represented and evaluated, and what choices and operations are used if the goal is not met.



5. **Transfer** the key elements of your effective strategy by stepping into the creativity location and focusing on the physical and mental patterns that you have discovered from your meta position analysis. That is, think about the body posture, accessing pattern, sub-modalities, T.O.T.E. elements, etc., of the effective resource. Then step back into the problem state location and add these elements to your experience of the problem experience.

Find out how you can adapt your effective strategy to the problem context. Sometimes this requires a fair amount of creativity in itself. If you have difficulty you can always return to meta position to get a more distant or general perspective.

Resourceful Situation	Problem Situation
Physiology	Physiology
<i>Posture</i>	<i>Posture</i>
<i>Eye Movements</i>	<i>Eye Movements</i>
<i>Breathing</i>	<i>Breathing</i>
<i>Gestures</i>	<i>Gestures</i>
Language Patterns	Language Patterns
Representational Systems	Representational Systems
<i>Submodalities</i>	<i>Submodalities</i>
T.O.T.E. Functions	T.O.T.E. Functions
<i>Goal</i>	<i>Goal</i>
<i>Evidence</i>	<i>Evidence</i>
<i>Operations</i>	<i>Operations</i>

### R.O.L.E. Utilization Worksheet

## **Checklist for ROLE Utilization Exercise**

- Established rapport before starting.
- Established a meta position before starting.

### **Step 1 & 2**

- Person Associated in Resource State. (1st position)
- Guide used first person, present tense language.
- Anchor Established.      Where?
- Separator State – Meta position.
- Calibration – Identified observable physical cues.

### **Step 3**

- Person Associated in “Stuck” State. (1st position)
- Guide used first person, present tense language.
- Anchor Established?      Where?
- Separator State – Meta position.
- Calibration – Identified observable physical cues.

### **Step 4**

- Able to elicit and identify significant differences in Representational Systems and Submodalities verbally.
- Appropriate interpretation of physical cues.

### **Step 5**

- Used anchor to reassociate into Resource State.
- Calibrated to Resource State physiology.
- Return to Meta position and Check Ecology.
- Used Resource anchor in problem state location.
- Calibrated for Resource state physiology.
- Future Paced.

# Strategies Overview

The following is an summary of the various principles and distinctions which make up the NLP Strategy Technology.

## I. Definition of “Strategy”:

- A. From the Greek word “*strategos*” meaning “general.”
- B. “*A detailed plan for reaching a goal or advantage.*” (Random House Dictionary)
- C. In NLP, the term “*strategy*” is used to mean the steps of a mental process or program (in the sense of a computer program) that leads to a particular goal or outcome. Each step in the strategy is characterized by the use of one of the five senses or “*representational systems*.”

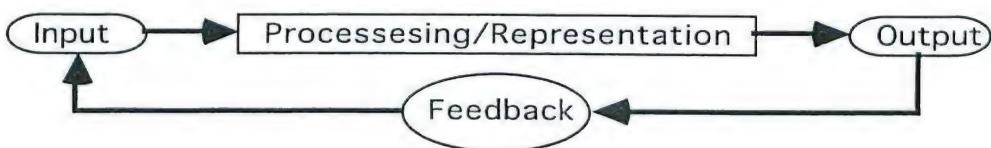
## II. Classes of Strategies

NLP identifies seven basic classes of strategies:

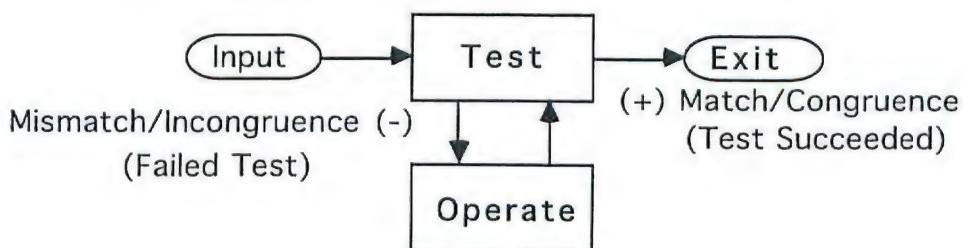
1. **Memory Strategies** – the specific mental steps that a person goes through in order to store and recall information received from his or her environment or constructed through internal processes.
2. **Decision Strategies** – the sequence of cognitive steps and operations an individual employs in order to make choices or commit themselves to a course of action.
3. **Learning Strategies** – the cognitive steps a person uses in order to develop or acquire new thinking skills and behavioral capabilities.
4. **Creativity Strategies** – the specific sequences of mental activity through which a person generates new possibilities and ideas with respect to some situation, activity or object.
5. **Motivation Strategies** – the sequence of cognitive steps and operations a person uses in order to inspire himself or herself to do all of the things necessary to get what the person wants.
6. **Reality Strategies** – the sequence of mental tests and internal criteria a person applies in order to evaluate whether or not a particular experience or event is “real” or “really happened,” and to distinguish “fantasy” from “reality.”
7. **Belief (or “Convincer”) Strategies** – the mental process through which a person becomes convinced of the validity of some experience or proposition.

## III. Structure of a Strategy

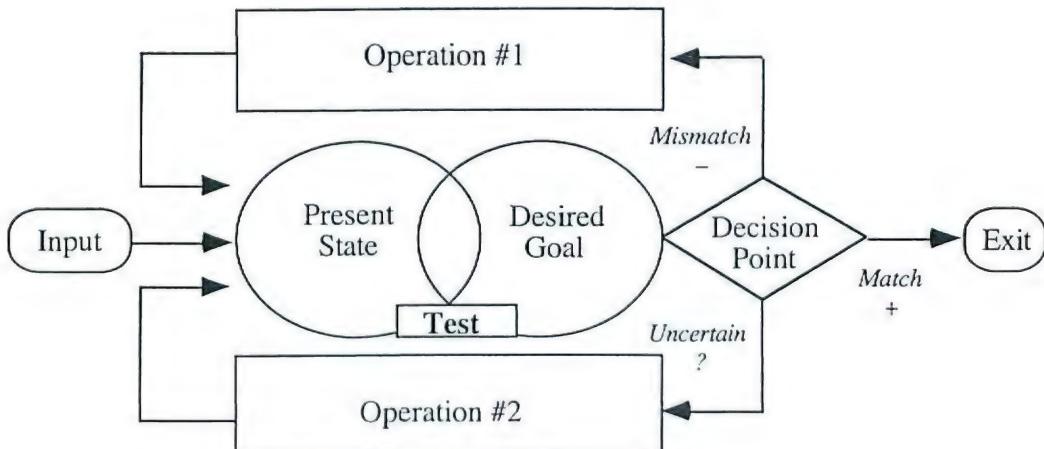
### A. General Systems Model



### B. T.O.T.E. Model - Stands for Test-Operate-Test-Exit



### C. NLP Strategy Structure



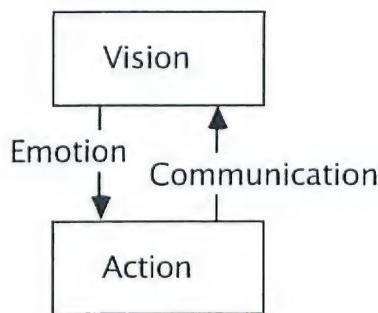
#### IV. Strategy Procedures

- A. **Elicitation** – The process of drawing out and defining the particular steps of an individual's cognitive program or "strategy" for some activity or mental ability. Effective strategy elicitation involves the ability to recognize and 'read' eye accessing cues and sensory specific language patterns. Another important aspect of elicitation is the mapping or 'notation' of the strategy sequence.
- B. **Utilization** – The procedures by which a specific strategy sequence or pattern of behavior is *paced* or *matched* in order to *influence* another's response. One of the most common NLP utilization methods is known as "mapping across," in which the steps or elements of a strategy that are effective for one situation or task are analyzed and then applied in a completely different context.
- C. **Design** – Creating a strategy that will secure a particular outcome in the most efficient and effective manner when there is no appropriate strategy immediately available. This requires that the strategy contain all of the necessary tests and operations needed to guide the sequence of behavior and to gather the information and feedback required to obtain the desired outcome.
- D. **Installation** – The purposeful, step-by-step process followed in order to help someone internalize a new cognitive strategy. There are two basic ways to install a strategy sequence: (1) through *anchoring* and inserting the steps of the strategy and (2) through *rehearsing* the strategy sequence (a form of self anchoring, also known as "future pacing").

## New Behavior Generator

One of the most essential processes of change is that of moving from a dream or vision to action. NLP has developed a dynamic creativity strategy, organized around the process of moving from vision to action, called The New Behavior Generator. The basic steps of the New Behavior Generator were established by John Grinder in the late 1970s. In the early 1980s Robert Dilts formalized the strategy (creating a computer software rendition of it), incorporating additions relating to the T.O.T.E. model, reality strategies, and the explicit statement of the underlying beliefs and assumptions that support the strategy.

The New Behavior Generator is an elegant strategy that can be applied to almost any situation that involves personal flexibility. The basic steps involve forming a visual image of a desired behavior, kinesthetically associating into the image on a feeling level, and verbalizing any missing or needed elements.



**New Behavior Generator T.O.T.E.**

These three steps form a feedback loop in which vision and action interact through the intermediate processes of emotion and communication.

Some time ago, a study was made of people who had survived airline accidents. Someone interviewed a number of people who had been involved in serious plane crashes but had survived, often unhurt. They were asked how they had managed to get free of the wreckage, with so much chaos going on, while many of their fellow passengers did not. It is an interesting question because escaping an airline wreck is not something you get much chance to practice. How do you prepare yourself to do something you've never done before?

The most common answer to this question that the survivors gave was that they had run a kind of mental "dress rehearsal" over and over in their minds. They would visualize the sequence of undoing their safety belts, moving out of their seat, running down the aisle to the nearest exit, jumping down the slide, etc. They would repeat this imaging over and over, feeling themselves doing what they saw in their picture, until it seemed that they had already done this activity many times before. Then, after the accident, when there was total havoc, they did not need to waste any time or conscious awareness thinking about what to do. The program was already in place. One of these people even mentioned that after the crash, he found himself going out the exit and suddenly realized he could hear the person who had been sitting next to him screaming that he couldn't get his seat belt off.

The goal of the New Behavior Generator is to do this type of mental "dress rehearsal" by generating imaginary scenarios and bringing them to concrete actions by connecting the images to the kinesthetic representational system. The strategy is based on several key beliefs:

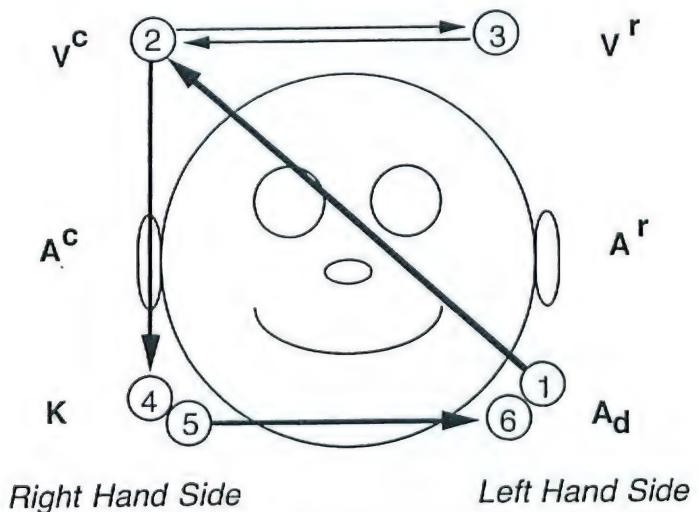
- A. People learn new behaviors by creating new mental maps in their nervous systems.
- B. The more complete you make your mental maps, the more likely you will be to achieve the new behavior you want.
- C. Focusing on your goal is the quickest way to achieve new behaviors.
- D. People already have the mental resources they need to achieve new behaviors. Success is a function of accessing and organizing what is already there.

The New Behavior Generator is a “how to” process that both expresses and supports these beliefs through the process of acting “as if.” Like all NLP strategies, the New Behavior Generator follows a particular cognitive sequence, made up of processes involving the various sensory representational systems. Each step in the sequence is also supported by behavioral cues in the form of eye movements. These eye positions help to focus and stabilize the particular representational system to be accessed.

### Basic Steps of the New Behavior Generator Strategy

The basic steps of the New Behavior Generator Strategy are summarized below:

1. Ask yourself, “If I could *already* achieve my new goal, what would I look like?” (*Do this while putting your eyes down and to your left.*)
2. Picture yourself achieving your goal. (*Look up and to your right to help stimulate your imagination.*)
3. To help you visualize:
  - a. Remember a similar successful achievement.
  - b. Model someone else.
  - c. Picture yourself first achieving a smaller part of the goal.  
(*Move your eyes up and to the left or right.*)
4. Step into the picture so you feel yourself doing what you pictured.  
(*Put your eyes and head down and to the right as you get into the feeling.*)
5. Compare these feelings to feelings from a similar past success.  
(*Keep your eyes and head turned down and to the right.*)
6. If the feelings are not the same, name what you need and add it to your goal. Go back to *step 1* and repeat the process with your expanded goal.  
(*Move your eyes and head down and to the left.*)



**Sequence of Accessing Cues for  
New Behavior Generator Strategy**

**NOTE:** You may add any number of needed resources to your goal statement so that when you are done you may have refined your goal to something like: “I want to be more assertive with my co-workers AND keep their feelings in mind as well AND maintain a sense of my own self-confidence AND remain cool if someone gets angry.”

## Stress

Stress is defined by Merriam-Webster's Dictionary as "a physical, chemical, or emotional factor that causes bodily or mental tension . . . resulting from factors that tend to alter an existent equilibrium." In other words, stress is our mind-body reaction to being knocked off balance or out of homeostasis—a condition that is possible under any situation involving change.

Physiologically, stress is associated with a high degree of arousal of the sympathetic nervous system, drawing the body into varying degrees of the "fight-flight" reaction. Stress is characterized by emotions such as fear, anxiety and anger, and is accompanied by physical patterns such as an elevated heart rate, increased perspiration, and constricted blood vessels, which causes a reduction of the flow of blood to the periphery of the body. Stress is considered by both psychologists and medical doctors to be one of the primary causes and co-factors of both mental and physical illness.

Stress is often contrasted with *relaxation*. Relaxation is accompanied by activity within the parasympathetic nervous system, which puts the body into a condition of ease and rest; slowing the heart rate, and dilating the blood vessels to allow an increase in blood flow. Relaxation is characterized by emotions such as contentment, inner peace and confidence.

In the last decade there has been a growing body of knowledge about how states of stress or relaxation effect our health as well as our ability to learn and perform. Illnesses of the cardiovascular system such as hypertension, heart disease, strokes, etc., have been strongly linked to chronic stress and the emotions which produce it. In fact, one of the mind-body relationships that has been most extensively researched is that between stress and health.

Conventionally, this relationship has been conceptualized as a three step process (Vogel, 1985):

- 1) There is a stressful event in the environment.
- 2) This event triggers biochemical and physiological changes.
- 3) These changes in turn cause pathological consequences.

In recent years the field of *psychoneuroimmunology* has demonstrated that emotional reactions represented in the central nervous system can create both positive and negative effects on the immune system through their influence on the autonomic nervous system and the endocrine system. Incorporating the findings from the field of psychoneuroimmunology, the conventional conceptualization of the mind-body influence of stress can be expanded to a five step process:

- 1) Stressful event
- 2) Autonomic nervous system reaction
- 3) Biochemical and physiological changes
- 4) Immune system reaction
- 5) Health consequences

As an example, in experiments where animals are subjected to stressful situations (for instance, an unavoidable electrical shock or disturbance of the night/day rhythm) the animals show a suppression of the immune response. Interestingly, however, animal researchers report that stressful situations that seem to involve an element of 'newness' or 'excitement' may actually enhance the immune response. This raises an important issue relating to strategies for coping with stressful situations. How can one psychologically frame, evaluate and respond to stressful situations, for instance, in such a way that they generate minimal or even beneficial autonomic and immune reactions?

## Managing Stress

From the NLP perspective, stress is a natural by-product of change. The issue is not so much about avoiding stressful situations as it is about how to cope effectively with stress. In the NLP view, even though we often cannot choose what happens in the environment around us, we can choose how we respond to environmental stimuli and situations. The same event can produce negative health consequences or not, depending on how we respond in relationship to it.

A primary leverage point in our response to stress is the activity of the autonomic nervous system. Learning to be aware of and influence processes within the autonomic nervous system can shift the impact of stressful events. Phobias and anxieties, for instance, have long been treated with systematic desensitization procedures involving biofeedback and cognitive methods which help people to control such functions as heart rate, blood pressure, skin temperature, etc. These methods coach people to better manage their inner state and shift their reactions to perceived stimuli.

NLP provides a variety of tools, techniques and skills that extend traditional methods of stress management in order to help people to respond more resourcefully and ecologically to stressful situations. Robert Dilts' NeuroLink, for instance, provides feedback relating to several autonomic responses including heart rate, skin temperature, blood pulse volume, and the electrical activity of the skin (GSR). These physiological indicators allow people to begin to recognize, monitor and influence internal states relating to stress and relaxation.

Other NLP techniques and interventions for stress management include:

- Distancing oneself from stressful stimuli and situations by using the V-K Dissociation format and developing a stronger Meta Position or Observer Position. Learning to shift the Submodality qualities of stress producing stimuli is another way to reduce their physiological impact, as do a number of other NLP state management techniques.
- Assisting the individual to develop skills to deal with emotional responses which lead to stress in new and more effective and ecological ways. This involves developing better abilities for State Management, by learning to take inventory of both cognitive and physical patterns related to both stress and relaxation. It also includes helping the person to be more aware of his or her feelings and express them more easily in different ways. It may also include exercises which facilitate the person to strengthen underdeveloped representational systems and to internalize basic communication skills.
- Identifying and Reanchoring environmental and internal triggers for stressful reactions through techniques such as Chaining Anchors, Integrating (Collapsing) Anchors or the Circle of Excellence. This may also involve eliciting and restructuring ill-formed cognitive strategies, or thought patterns which lead to stress, through processes such as the Swish pattern and Strategy design and Installation processes.
- Reframing stress, by finding the positive intentions, communications and 'secondary gains' of stress and stress symptoms, and by establishing more ecological choices to satisfy them that do not have the stressful consequences.
- Addressing inner conflicts that can exacerbate stress by identifying and integrating the different 'parts' of the person at the basis of internal struggles. This can be accomplished through NLP techniques such as Parts Negotiation or Integrating Conflicting Beliefs.
- Dealing with the underlying causes of stress, such as limiting beliefs. This may involve identifying and resolving events or imprints in the individual's personal history which are the source of stressful reactions, through Reimprinting or Changing Personal History.
- Establishing empowering beliefs that help to promote a sense of resourcefulness, competence and confidence in one's capabilities to deal with stressful situations. This can be accomplished through building positive affirmations and using time line techniques, such as the Belief Installation Process.
- Helping the person to distinguish between his or her identity and his or her reactions to stressful stimuli occurring in that person's environment. This requires the ability to distinguish and realign different Logical Levels of experience. Robert Dilts' multi-level 'disidentification' process and Level Alignment procedure, for instance, helps to create a sense of inner harmony and support which can greatly reduce the impact of stressful situations.
- Assisting the person in establishing and Future Pacing more appropriate alternatives to stress. This includes identifying Well-Formed Outcomes and rehearsing potential choices through processes such as the New Behavior Generator and the Disney Imagineering Strategy.

## Disassociation

“Disassociation” refers to a state of being disconnected from some aspect of one’s experience, usually one’s feelings. A “disassociated” state is usually defined as one of being “separated from” or “not associated in” a particular experience. Thus, disassociation may be most usefully contrasted with “associated” experience. In NLP, an “associated” state refers to experiencing a situation or event as if you were reliving what happened, such that you are seeing through your own eyes, feeling your own body and emotions, hearing what you heard, and smelling and tasting what occurred at that time. “Disassociated” experience involves viewing yourself from the perspective of an external observer, such as seeing oneself as if one were watching a movie or video of one’s behavior.

Disassociating from a particular memory or experience can significantly influence the impact that experience has on a person’s internal state. Imagine or recall, for example, what it is like to ride on a roller coaster at the amusement park. First experience it from an “associated” perspective. See the car and the tracks as if you are actually on the ride right now. Feel the rush of air and the shifting gravitational force as you speed along the tracks, and hear the sounds of the people’s screams as you rocket down a steep slope.

Now re-experience the same ride from a “disassociated” perspective. Watch yourself from a distance, hearing the far away, muffled sounds of the people’s voices, and feeling calm and stable in the observer position. Even though the experiential ‘content’ is the same, what you are aware of and how you respond is probably quite different.

The notion of disassociation, which came into NLP through Milton Erickson’s hypnotherapeutic work, is often applied to help people cope more effectively with difficult or painful situations. The NI technique of V-K Disassociation, for instance, is a profound and powerful method to help people deal with phobias, traumas and stress.

Some of these techniques may require multiple disassociations. A person may experience a “two place” or “three place” disassociation (as is used in the V-K Disassociation technique). A “two place” disassociation involves a person viewing his or her own actions. A common metaphor used to facilitate a “two place” disassociation is that of sitting in a movie theater, watching oneself in a particular event, as if one was seeing a movie. In a “three place” disassociation, one’s point of awareness would shift such that one was in the perspective of the person operating the movie projector. In this case, one would be ‘watching oneself watch oneself’. (While three places are typically the most used in NLP techniques, it is possible to create disassociations of four, five or more places.)

In addition to the shifts in visual perspective, the process of disassociation is accompanied by corresponding physical and other ‘neurolinguistic’ patterns. Disassociated states, for example, are characterized by shallow breathing in the chest area, an erect posture with the shoulders back, head and eyes looking upwards at about a 20 degree angle, and little or no tension in the facial muscles. Disassociation is also accompanied by a lower heart rate and reduced electrical activity of the skin (GSR), which can help to reduce the physiological effects of anxiety, stress or fear.



**Typical Posture Accompanying a Disassociated State**

Linguistically, a disassociated state is characterized by ‘third person’ language, such as, “*him*,” “*her*,” “*that person*,” etc. Disassociation is also facilitated by verbal patterns presupposing distance in either time or space, such as, “*that experience*,” “*over there*,” “*the younger self*,” etc.

Sometimes disassociation is viewed as merely being “disconnected from one’s feelings”; but it is important to remember that when a person disassociates from an experience he or she is “associating” somewhere else. In fact, the simplest way to disassociate from a particular perspective or perceptual position is to associate into another one. Thus, the focus of attention during the process of disassociation may be on going *away from* negative emotions, or going *toward* a different perceptual position or new perspective.

The ability to disassociate from our own experience creates the possibility for self-reflection and “metacognition” (the awareness of our own thinking processes), and provides us the opportunity to model ourselves. Being able to disassociate from various aspects of one’s experience is an important component of many NLP processes. Disassociation, for instance, is a key element of ‘meta position’ or ‘third position’, and is a necessary characteristic of a “through time” time line.

The ability to disassociate from particular aspects of one’s experience is required in order to make effective choices, determine the ecology of a particular outcome or desired state, build motivation, reprogram past events, and plan future performance.

Choice, for example, requires 1) widening one’s map or model of the world, and 2) the ability to disassociate oneself from an immediate reflex. According to John Grinder, the ability to make a disassociated image of yourself doing something, before you do it, may well be one of the major evolutionary distinctions between human beings and animals. When Pavlov rang the dinner bell for his dogs, for instance, they would most likely not have been able to mentally step back, visualize themselves, and think, “What do I want to do next? Do I really want to salivate right now?” One of the distinguishing characteristics of human beings is the degree to which they can step back and make a disassociated map of something in their brains.

Disassociation, incidentally, should be distinguished from *dissociation*. Disassociation involves moving to or “associating to” a different perspective. Dissociation involves the disconnecting or separating of the elements of an experience, without necessarily changing one’s perspective.

## V-K Dissociation Process

The NLP V-K Dissociation process is a powerful method for dealing with painful, stressful and traumatic experiences. According to Webster's Dictionary, to *dissociate* means "to separate into discrete units or parts." As the name implies, then, *V-K Dissociation* involves separating one's visual experience (V) from one's feelings, or kinesthetic representational system (K). For example, a person may separate an unpleasant emotional response from the visual stimuli that are producing those feelings. This allows the person to replay what he or she has seen and heard without having the accompanying feelings. From this perspective, the process of dissociation is a reversal of what are known as "synesthesia" and "fuzzy functions" in NLP, which both involve the overlapping or combining of sensory representations. Being able to separate sensory processes from one another, and thus dissociate from a stressful, painful or traumatic experience, can help a person to get some psychological distance from it, and to become better able to assess and cope with the situation.

The V-K Dissociation process was one of the earliest therapeutic techniques developed by NLP co-founders Bandler and Grinder. Bandler and Grinder systematized the procedure in 1976, as a synthesis of hypnotic techniques used by hypnotherapist Milton H. Erickson, M.D., and the spatial sorting processes used by Gestalt therapy founder Fritz Perls. The basic goal of the V-K Dissociation process is to separate oneself from one's feelings by creating the experience of being outside of one's body. This is done by shifting totally to the visual representational system and imagining that one is looking at oneself from a removed, observer perspective. This shift of consciousness is facilitated by the use of "accessing cues" and other physical patterns. Lifting your head and eyes upwards and breathing high and shallow in your chest, for instance, is a way of promoting the experience of being separated from one's feelings.

The use of submodalities is also an important influence in creating a dissociated state. Seeing oneself as if watching a movie of oneself (as opposed to experiencing the event from your own perspective and seeing through your own eyes) is a necessary condition for V-K Dissociation. Making the visual image of a particular event or experience smaller, more distant, colorless, or placing a border around it, will also intensify the experience of dissociation.

V-K Dissociation can be done in the form of a "two" or "three" place separation. In "two-place" dissociation, one separates one's attention into two distinct locations: 1) the physical, kinesthetic location of the body, and 2) a completely visually oriented point of view, in which one is floating above oneself looking down on one's body. For extremely painful or traumatic experiences, the process can be extended to a "three-place" dissociation. The third "place" or location is typically described in terms of a 'movie screen'. One imagines that one is "watching oneself watch oneself" on the movie screen. One can then project images or snapshots of a painful past incident, making sure that they are frozen 'snapshots' and within a frame.

Sometimes people are instructed to move the movie screen farther away, make the imagery black and white, or alter the size or brightness of the pictures in order to insure complete detachment from any feelings. Dissociation is also facilitated by using 'third person' language to describe one's actions and responses in the past situation or event. This involves describing oneself and one's actions using words like "he," "she," "his," "her," "that person," "the younger me," etc., instead of "me," "my," "I," etc.

Once an effective dissociation has been achieved, it is then possible to address and restructure the memories associated with the painful or traumatic event. The NLP V-K Dissociation technique incorporates a type of Change Personal History process to help people to recode their perceptions of challenging or traumatic incidents by anchoring new resources to those memories. This is done by identifying knowledge or resources that may not have been available at the time of the actual incident, but which are available at the present time. These new learnings and understandings can be transferred back into the problem situation by recalling a recent example of having these resources, and "changing history" by anchoring those resources and bringing them into the past event. People are able to change their perceptions and responses to the past event by reliving the experience "as if" they had the new resources.

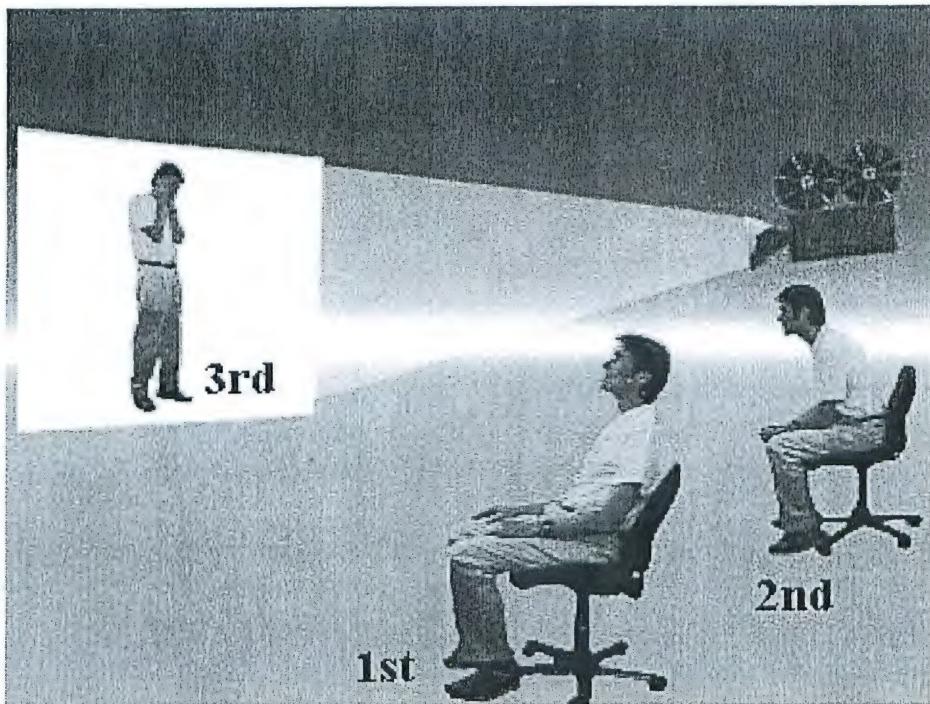
V-K Dissociation also employs a form of Reframing, which explores finding other choices to satisfy the positive intention of the negative feelings.

The last step of the procedure is to project the resources, and new responses associated with them, into possible future situations and contexts, in order to explore the outcomes and longer term effects produced by the change.

The following are the steps of the standard NLP V-K Dissociation technique.

## *Steps of the NLP V-K Dissociation Technique*

Before beginning, establish physical locations for three different perspectives depicted in the following illustration.



### **The Three Positions Involved in the NLP V-K Dissociation Procedure**

1. Imagine you are sitting in a movie theater (1st location).
2. Look up and visualize a blank movie screen out in front of you on which you could project various events and experiences of your life as if watching an actor in a film (3rd location).
3. Imagine you are physically leaving your body and moving to another position above and behind yourself, as if you were going into the projection booth of the theater (2nd location). It can be useful to physically change locations and move to the "2nd place" position. Look out and watch yourself sitting in one of the seats of the movie theater (1st location) looking at the movie screen (3rd location). Your eyes should be looking upwards at about a 20 degree angle; your breathing will be shallow and in the chest area; shoulders back; with little or no tension in your facial muscles. *Anchor this state.*
4. On the movie screen begin to project snapshots of the painful, problematic or stressful experience making sure they are frozen images, and within a frame. If you need to, move the pictures farther away, make them black and white, or alter the size or brightness to insure you can be completely detached from any negative feelings. Continue to visualize the anxiety producing experience on the movie screen, making sure you remain in 3rd place dissociation by using your anchor and the verbal patterns associated with disassociated, "third person" language (i.e., "him," "there," "the younger me," "that experience," etc.).
  - a. From this perspective, what positive intention(s), secondary gain(s), and other choices or resources can you identify?
  - b. Anchor the new choices and resources.
5. Reassociate back into the seat in the movie theater (1st location) from the position in the

projection booth (2nd location). Imagine that the resources have been transferred into the incider being projected on the screen (3rd location), and check the ecology of the new choices. Use your anchor for new choices and resources as needed.

6. Put yourself back again into the past event that you have been watching on the movie screen (3rd location), bringing the new resources and choices into the earlier experience (using the resource anchor you established at step 4 b).
7. Future pace these changes by imagining situations in the future which could be a trigger for the anxiety state and make sure your new choices and resourceful physiology appear.

## **Checklist for V-K Dissociation Exercise**

Guide: \_\_\_\_\_ Explorer: \_\_\_\_\_ Meta Person: \_\_\_\_\_

\_\_\_ Established rapport before starting.

### **Step 1**

\_\_\_ Established three locations.

### **Step 2**

\_\_\_ Calibration to 2nd place dissociation - Identified observable physical cues.

### **Step 3**

\_\_\_ Calibrated to 3rd place dissociation - Identified observable physical cues.

\_\_\_ Utilized appropriate submodalities.

\_\_\_ Anchor Established?      Where?

### **Step 4**

\_\_\_ Calibrated to 3rd place dissociation.

\_\_\_ Anchor Utilized.

\_\_\_ Calibrate and anchor new resources and choices.

### **Step 5**

\_\_\_ Ecology Check.

\_\_\_ Used anchor to transfer new resources and choices.

### **Step 6**

\_\_\_ Associated into 1st place location.

\_\_\_ Used anchor to transfer new resources and choices.

### **Step 7**

\_\_\_ Future Paced

## Hypnosis

Hypnosis is the art and science of using verbal and non-verbal communication patterns to assist another individual in entering an altered state of consciousness, often, though not exclusively, a trance state. The term *hypnosis* is derived from a Greek word meaning "sleep" because trance states often resemble states of sleep, even though they are induced by suggestion. The study of hypnosis and hypnotic techniques, especially those developed and practiced by Milton H. Erickson, M.D., has provided the foundation for many NLP techniques.

The results and the value of hypnosis, or a particular "trance" state, is the consequence of the type of induction procedures and suggestions that are used with the subject. In a standard hypnotic induction, a subject is essentially guided into a very relaxed state, or "trance," resembling some aspects of sleep.

In states of hypnosis, people often have access to parts of their experience and personality which are unavailable to them in their normal waking state consciousness. Hypnosis is considered by many to be a doorway to the "unconscious" or "other than conscious" aspects of the mind or experience. It is this aspect of hypnosis that can make it an effective therapeutic tool.

A person's response to hypnosis and abilities with particular hypnotic phenomena are relative to the person's "normal" state of consciousness. When teaching hypnosis courses, Bandler and Grinder would often illustrate this fact by one of them taking the stand that "there is no such thing as hypnosis," while the other would argue that "everything is hypnosis," using the same experiences to support both views.

From an NLP perspective, an altered state of consciousness is "altered" with respect to a person's normal mental state. Changing a state of consciousness would involve an alteration of one of the parameters that make up such a state. From an NLP point of view, these would include: a) primary representational system, b) internal or external focus of attention, c) lead system, or input system, and hemispheric processing ("left brain" or "right brain" dominance).

In the NLP approach to hypnosis, *pacing and leading* is applied as the fundamental method of altering a state of consciousness. *Pacing* is the process of recognizing what is comprising an individual's consciousness at a certain point in time. Increasing your sensory skills and ability to observe another person is the best way to enhance your pacing abilities. Another aspect of pacing is feeding back the information you received from the individual as a means of establishing rapport with that person. This may be done through any sensory system. Some examples would be: Body mirroring, matching predicates, pacing tonal qualities of the person's voice, pacing breathing (with your own breath, or with your hand or sway of your body), mirroring accessing cues, or by verbally "meta-commenting" on the other individual's behavior.

*Leading* is the process of beginning to guide the other individual's attention and behavior to some desired state. Pacing facilitates leading because it connects it to something familiar or verifiable, making it easier for the subject to "follow" the hypnotist's lead. Pacing and leading are combined together as a means of forming particular hypnotic suggestions. For example:

*"As you become aware of your hands resting comfortably on your knees, your eyes gently blinking, and the air moving in and out of your nose as you breathe (pacing), you can begin to feel even more sleepy (leading)."*

### The 'Milton Model'

The ability to form such verbal suggestions is one of the key skills of effective hypnosis. As a prime example of the influence and potential of language, hypnosis and hypnotic suggestion has been an area of continued interest and research with respect to Neuro-Linguistic Programming. The following is a list of language patterns modeled by NLP founders Bandler and Grinder from the hypnotic techniques of legendary hypnotherapist Milton H. Erickson, M.D.:

1. *Causal Connections*: Statements which imply a direct causal connection between two events (using words like: after, during, before, as, when, etc. For example:

*"As you take a deep breath your eyes will begin to close."*

*“After you make that image clearer you will really be able to relax.”*

*“Closing your eyes will make you go into an even deeper trance.”*

*“When my hand touches you, you will remember something you haven’t thought of in a long time.”*

2. *Ambiguity*: Statements or commands which have multiple meanings. These can be used for distraction or interruption, or to communicate messages at the unconscious level. For example:

*Phonological* (words which sound alike): “Your hand is *a part* and *apart* from the feelings of the rest of your arm.”

*Syntactic* (where the function of the word can’t be uniquely determined by the rest of the sentence): “Imagine the *feelings* of a rock in your one hand turning into the *feelings* of another hand.”

*Punctuation* (where two sentences overlap at a place where they share the same word): “Can you tell me the time on your *watch* my hand carefully.”

3. *Presuppositions*: A statement or suggestion which already presupposes some behavior in the other person. For example:

“Do you want to go into a trance now or five minutes from now?” (It is already assumed that you *will* go into a trance, the question is *when*).

“Don’t go into a trance *too fast* now.”

4. *Embedded Commands*: By changing your voice properly you can make a command out of a statement which originally sounds like it means just the opposite. For example:

“There’s really no need to *close your eyes and take a deep breath*.”

5. *Metaphor*: Talking about someone as if they were something or someone else can be a very effective means of unconscious communication. For example:

“When I was a child my mother told me a story about a little rabbit that went on a journey and learned many new things...”

6. *Non-Verbal Markings*: Voice stress, hand and arm gestures, eye movements, touches, and other non-verbal expressions can be used to mark out important or significant parts of a seemingly ordinary communication, or to emphasize them (lowering your voice as you say “deeper” for instance). For example:

“I was telling someone yesterday that a plant can *feel comfortable*.”

There are also a number of ways of inducing trance states that do not specifically involve suggestions based on these verbal patterns. *Patterns of the Hypnotic Techniques of Milton H. Erickson, M.D., Volume II* (Grinder, DeLozier and Bandler, 1977), for example, describes a number of different ways of “tracking” a person into a hypnotic state.

*Predicate leading*, for instance, is another way of shifting a person’s attention applying pacing and leading. By listening to the predicates that an individual uses to describe his or her experience, one can tell the primary representational system that the individual is using to organize his or her ongoing sensory perceptions (e.g., “I’m not clear about the solution to my problem,” “Something keeps telling me I’m not good enough,” “I feel upset and anxious.”). By systematically matching the predicates that the individual uses and then substituting predicates indicating a different sensory modality, you can lead the person to make new distinctions about his or map of the world. For example:

*“I hear you saying that it is difficult for you to understand anything if you cannot discuss the rational reasoning behind it, but perhaps if you focused more closely on this statement you could begin to look between the lines and see it from a different point of view.”*

[Note: Sometimes during the process of predicate leading, an individual may alter his or her lead system rather than his or her primary representational system. This may be called an altered state of awareness rather than consciousness.]

Other methods of inducing an altered state of consciousness include:

**A. Pattern Interruption** – Probably the quickest way to change an individual's typical means of making sense is to interrupt it directly. There are a number of ways to accomplish this:

1. *Blocking* a behavioral pattern is the process of literally not letting the other individual complete a typical behavioral program (like interrupting a handshake). Other examples of this include: interrupting in mid-sentence, talking to another person as they talk to you, stopping accessing cues, not responding appropriately to another's communication, etc.
2. *Confusion Techniques* have an obvious effect. Many confusion techniques involve the use of the types of ambiguity identified earlier. For example: In the middle of a sentence you suddenly stop, reach over and touch the subject in a number of places and then say "Which *time* were you touched more *times* than the *time* before you were last touched?"

**B. Pattern Enhancement and Exaggeration** – A controlled repetition of some pattern of behavior can be an extremely profound means to alter consciousness or the conscious meaning of a behavior. Biofeedback and mantras are both examples of this process. Exaggerating accessing cues (such as breathing rate and position) and self-anchors (such as hand gestures and voice tones) can be extremely effective. Habituation or desensitization, exponential expansion of the behavioral response, and a polarity response are all possible reactions to pattern enhancement.

While techniques for inducing hypnosis and forming suggestions can be easily learned, other skills and knowledge are necessary in order to use hypnosis appropriately and ecologically as a therapeutic tool. Health professionals, for instance, employ hypnosis in their area of competence, and are equipped to use a variety of other treatments as well, so that they can choose the one most appropriate for a particular patient.

It is also the case that different aspects of hypnosis (suggestion, pacing and leading, pattern interruption, etc.) can be used without any formal induction of a "trance" state. Several NLP techniques, such as Reframing, Anchoring and Change Personal History, started as processes used in conjunction with a formally induced trance state. It was subsequently discovered that such processes also worked effectively whether or not a person was officially "in trance."

While hypnosis is not taught explicitly in most NLP courses, many NLP skills and techniques have roots in hypnotic skills and procedures. Developing familiarity with the use of suggestion, induction procedures, altered states and trance phenomena can provide an important adjunct to the practice of NLP.

## Symbols and Symbolic Representations

Merriam-Webster's Dictionary defines a *symbol* as "a visible sign or representation of an idea"; or "something visible that by association or convention represents something else that is invisible." The "lion," for example, is often used as the "symbol" of strength or courage; the "lamb" is the symbol of meekness or patience. In this case, animals are being used as 'symbols' for emotional states and attitudes. Such symbols can also be used to represent more abstract entities. The "eagle," for instance, is a symbol of the United States. At a more "literal" level, the letter "A" is a symbol for the sound *a*.

The term "symbol" comes from the Greek *symbolon*, which literally meant a "token of identity verified by comparing its other half." The word was derived from *symballein*, meaning "to throw together," or "compare" (from *syn* = "together" + *ballein* = "to throw").

From the NLP perspective, symbols can be considered a form of "surface structure" representing some unseen "deeper structure"; or a "map" indicating aspects of a particular "territory." Like all other forms of surface structures or maps, symbols in some way delete, distort, and generalize aspects of the deeper structures which they represent. In fact, in many ways 'symbols' are also "nominalizations"—processes which have become encoded in a concrete object or image. Compared to verbal language, however, symbols are a more visual, "right brain," form of representation and communication.

Because symbols are generally more metaphorical and non-literal, they can become simultaneously associated with several different levels of experience. They are also less likely to become confused with the territory with which they are associated. This makes them an especially useful form of representation and communication for certain types of ideas and experiences. Symbols are often a more appropriate way of representing processes at the identity and spiritual levels, for instance. These levels of perception are characterized by broad generalizations. They are necessarily highly encoded and very abstract. Representations reflecting identity and spiritual experience are often expressed in symbolic and metaphoric language—*e.g., I am like a lighthouse; He is a bitter person; They are animals; She is like the sunshine; The Lord is my shepherd, etc.*

Paradoxically, people actually reveal less of themselves by giving sensory based descriptions than they do by speaking in symbols and analogies. For example, if I describe myself as a "Caucasian male who is wearing a gray herringbone coat, sitting in a wooden chair, typing at a lap top computer with recently trimmed fingernails, etc." I have really revealed very little about 'me'. If, on the other hand, describe myself as, "A pioneer who likes to explore new territory, but gets bored if he stays in one place too long," I have made a description that is not literally accurate at all, but which has said a lot more about who I am and what "makes me tick."

Symbols can also be a very powerful form of self-anchoring. Because they touch different levels of experience, and involve both hemispheres of the brain, symbols can have a powerful associative effect. A number of Systemic NLP processes and procedures use symbols as a form of representation and anchoring. "Parts" of a person, for example, are often represented symbolically for techniques such as the Visual Squash and Conflict Integration. Symbols also often form the basis for stories and metaphors, and are a fundamental feature of art. Symbols are commonly used as a means of interface between the conscious and unconscious minds. Sigmund Freud, Carl Jung, Milton Erickson, and many others developed therapeutic processes based on the use of symbols and metaphors.

### A Strategy for Creating Symbols

Symbols are typically formed on the basis of "synesthesia," or overlaps between the senses. The most common form of overlap is between internal feelings and constructed visual images ( $K^i \rightarrow V^c$ ). The following is a simple strategy that can be used to form symbols for internal states.

1. Take a moment and think of what it's like when you experience state X (e.g., calm). Associate into that experience, seeing what you see, hearing what you hear, and feeling what you feel.
2. Focus on the feelings associated with state X. Touch the part of your body where you most strongly feel this sensation, and let the feeling become a symbol or an image you can see (e.g., multi-colored fountain).
3. If you have difficulty forming a visual image, it may help to add a verbal strategy to find your symbol. For example, start the sentence, "My feeling associated with state X is like . . ." and notice whatever phrase, symbol or image spontaneously emerges.

## **Seeing the “Field”**

Symbols and symbolic representations are also means of connecting to and gathering knowledge from the “field.” The following steps are a way of using symbols to enhance your map and perception of the influence of larger relational or energetic fields.

1. Identify an experience where you have reached an impasse and select a physical location to be associated with it. Associate into that experience as fully as possible and step into the physical location you have chosen.
2. Step away from the physical location to an observer position. Center yourself and open to the “field. With your eyes closed, imagine you are looking through your center at the “field” or energy dynamics influencing the system. Allow a symbolic image to emerge.
3. Reflect upon your desired state and select a different physical location with which to associate it. Staying centered, step into that location and get a feeling for the desired state. Pay attention to the “field” or energy dynamics of this state. Allow a symbolic image to emerge.
4. Step back into an observer position. Center yourself and open to the “field. With your eyes closed, imagine you are looking through your center. Consider how the “field” or energy dynamics influencing the system would transform in order to reach the desired state. Allow a symbolic image to emerge.
5. Taking the symbolic image that emerged in the previous step, step back into the impasse location and feel how it transforms.

## Therapeutic Metaphor

Therapeutic metaphor is one of the most elegant tools available for assisting people in the process of personal transformation and healing. The major purpose of therapeutic metaphor is to pace and lead an individual's experience through the telling of a story which helps that individual access resources necessary for change. A metaphor is essentially a fantasy which paces the "reality" of the listener at some level. The meaning of a story or metaphor is typically not in the specific events that make up its content (its 'surface structure'), but rather in the underlying patterns or principles it conveys (its 'deep structure'). The value of metaphor is that it can bypass conscious resistances, and serves to stimulate creativity and lateral thinking in relation to a problem. Metaphorical thinking provides a gateway between the conscious and the unconscious, and between "left brain" and "right brain" processing.

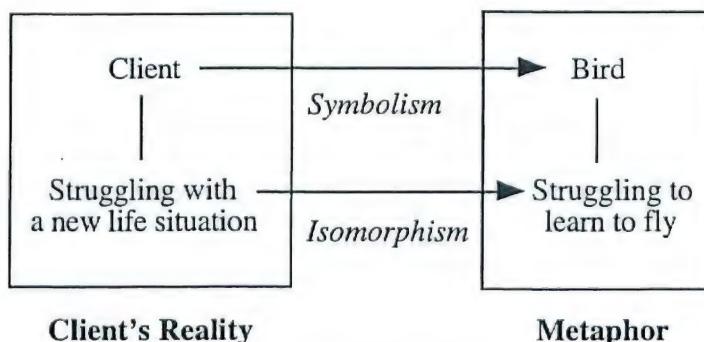
Metaphors encourage people to focus on the deeper structure relationships between their reality and that of the story. The therapeutic value of a metaphor lies in the similarity of its deep structure to the deep structure of the problem (their 'formal properties'), even though the surface level characters and details (the content) are very different. The fact that stories and metaphors are non-literal also makes it possible for them to provide a "way of thinking that is different from the way of thinking that is creating the problem." One of the main characteristics of therapeutic metaphors is that they are open ended, thereby allowing listeners to draw from their own resources for a solution.

There are two major components in creating a therapeutic metaphor: symbolism and isomorphism.

*Symbolism* involves the substitution of one 'referential index' for another. Metaphor is defined as "a figure of speech in which something is spoken of as if it were another." In the case of therapeutic metaphor, the client and his or her circumstances are spoken of "as if" they were the characters in a story. A *symbol* is a character, object or situation that stands for some aspect of the client's reality. Symbols are a type of "anchoring" which may be used to pace and eventually lead the client's perception of his or her problem situation. In the simplest form of symbolism, a client may be given an indirect message or suggestion prefaced with the statement, "I had a client once who had a problem much like yours, and what she did was . . ." In this statement, some sort of connection is being presupposed between the previous client and the current client. This same type of linking could be extended further by saying, "I had a pet dog once who . . ." or "I grew a plant once that . . ." or "Once upon a time there was a young princess who . . ."

*Isomorphism* involves establishing similarities between the behaviors, relationships and situations of different individuals (e.g., the client and the symbolic character). Many isomorphisms emerge naturally because all systems share certain properties at the level of their 'deeper structures'. Oscillation, for instance, is an identifiable property within a number of varied systems—electrical circuits, springs, guitar strings, the relationship between two individuals, etc. People can learn much about the possibilities of their own behavior by considering the operation of other systems. Imagining that you are a bird in a certain situation, as opposed to a lion, will open up or restrict different avenues of response.

In general, symbols will identify the *structural* aspects of the metaphor, while isomorphisms will deal with the *relational* or syntactic components.



### Therapeutic Metaphors Are Constructed Using Symbols and Isomorphisms

Traits of personality and personal abilities are undoubtedly established through isomorphisms in behavior. Individuals confronted with new situations will respond to them in a manner analogous to contexts they have encountered before. We may find that an individual's eating habits are analogous to his or her sexual habits, which are analogous to the way he or she talks, plays the piano, or interacts with strangers. The well-known phenomenon of transference, where one individual responds to another as if he or she were some "significant other," is another product of behavioral isomorphisms. In a sense, anything that an individual does will be a metaphor for the way that he or she organizes his or her experience. (As Gregory Bateson pointed out, "Everything is a metaphor for everything else.")

Milton H. Erickson gives an account of how he used isomorphism while working with a couple having marital difficulties over their sexual behavior. Erickson talked to the couple about their eating habits. He found that their eating habits paralleled the individual sexual behaviors that were causing the difficulty. The husband was a "meat-and-potatoes" man and liked to head right for the main course, while the wife liked to linger over appetizers and delicacies. For their therapy, Erickson had them plan meal together "from soup to nuts," in which they both were able to attain satisfaction. The couple, of course, had no idea of the significance of the event, but were pleasantly surprised to find that their sex life improved dramatically afterwards.

By establishing symbols and isomorphisms through the characters in a story (whether they are an animal, a rose, a queen, or another client) for problems and issues being dealt with by a particular client, a chain of events can be formulated through a story line or plot in which new responses may be generated or suggested via the symbolic interactions. The storyteller may supply the whole progression of events, or allow the client to participate by filling in responses, events, and characters (which the storyteller may use to gather information indirectly about the client's internal processes or experiences).

Embedded messages, analogic markings, and other linguistic patterns may also be employed within the context of a metaphor to enhance and increase the effectiveness of its outcome.

In summary, the major elements of constructing a therapeutic metaphor include:

1. Transferring focus from the individual to some character in the story.
2. Pacing the individual's problem by establishing an isomorphism with respect to the behaviors, the events and the characters in the story that are parallel to those in the individual's situation.
3. Accessing resources for the individual within the context of the story.
4. Finishing the story such that a sequence of events occurs in which the characters resolve the conflict and achieve the desired outcome.

### Drill 1: Finding Isomorphisms

The fundamental skill of constructing therapeutic metaphors is to find or create isomorphisms or parallels between the characters and events in the story and the listener's situation. This is what Gregory Bateson referred to as "abductive" thinking.

The following drill will help you to develop your abductive thinking abilities.

To be done in groups of three—**A**, **B** and **C**.

1. **A** tells **B** and **C** about a current problem or situation for which **A** would like some guidance; e.g., **A** would like to get in a new relationship, but is hesitant because of problems he or she has experienced from previous partnerships.
2. **B** and **C** listen for the significant elements in **A**'s situation or problem; e.g., "The focus on the past is preventing **A** from moving forward in his or her life."
3. **B** and **C** concur regarding the important contextual elements, characters, relationships and processes in **A**'s situation. **B** paraphrases these to **A** to check for accuracy.
4. **B** and **C** get together and construct a metaphor to deliver to **A**. **B** and **C** may use the following sources for inspiration:

- Fantasy
- Universal themes
- General Life experiences
- Personal Life Experiences
- Nature: Animals, Seasons, Plants, Geology, Geography etc.
- Folk Tales
- Science Fiction
- Sport

e.g., “My grandfather taught me to drive. He told me that I could drive quite safely looking only in the rear view mirror, providing the road ahead is exactly the same as the road behind.”

5. Rotate until each player has been in the **A** role.

### **Drill 2: Physical Metaphor—The Ongoing Sculpture**

To be done in groups of 3–5.

One member of the group strikes a pose, the next member mirrors the pose and then continues or adds to it in some way. Each member mirrors and continues the pose of the previous person until each member has struck at least two poses. Notice the kinesthetic “Storyboard” that emerges from the sequence of postures. Make a story out of the series of poses.

### **Drill 3: Creating Isomorphisms Through ‘Somatic Syntax’**

The following drill will help you to find isomorphisms by using your body to promote abductive thinking, and creating a kinesthetic ‘Storyboard’ for moving from a present state to a desired state.

To be done in pairs: **A** and **B**.

1. **A** tells **B** about a current problem or situation for which **A** would like some guidance.
2. As **B** listens to **A**, **B** is to begin to go to ‘second position’ with **A**, stepping into **A**’s shoes and taking on his or her “somatic syntax”—i.e., posture, breathing pattern, gestures, head and eye position, etc. (e.g., **A** is slumped forward, and hunching up his or her shoulders.)
3. Holding **A**’s somatic syntax, **B** asks, “What is another context or situation in which this physiology would be natural?” (e.g., Carrying a heavy backpack up a mountain side.) Visualize this as a “snapshot” representing the first panel of a ‘Storyboard’.
4. **B** asks **A** about his or her desired state. Again, **B** goes to ‘second position’ with **A**, taking on his or her “somatic syntax.” (e.g., **A** sits erect, with head and eyes up, using balanced and symmetrical gestures.)
5. Holding **A**’s somatic syntax, **B** asks, “In the context that I have selected for the storyboard (i.e., hiking up a mountain side), what activity or event would naturally lead to this desired state physiology?” (e.g., Arriving at the top of the mountain, throwing off the backpack and scanning the vista.) Visualize this as a “snapshot” representing the final panel of the storyboard.
6. **A** and **B** explore the physical movements and imagery that could make up the intermediate steps of the storyboard.

## Time Lines

Mental and physical ‘time lines’ have become one of the most commonly used tools of NLP in the areas of therapy, business and personal growth. Working with time perception is at the core of such processes as Change Personal History, Reimprinting, Transderivational Search, Future Pacing, strategic planning and practically all of the methods for defining and managing a path from a Present State to a Desired State.

NLP has made significant explorations into the different ways in which people subjectively represent time and how it influences the way people perceive and give meaning to events (James & Woodsmall, 1987; Andreas & Andreas, 1987; Dilts, 1987, 1990; Bandler, 1988, 1993). The manner in which people represent past and future, and how they order events in ‘time’, will often affect their thoughts, emotions and plans.

Take a moment, for example, and notice how you subjectively perceive “time.” Think of something that happened (a) yesterday, (b) last week, and (c) a year ago. How do you know that one happened a day ago and the other a year ago? How do you represent the ‘distance’ in time between the different events?

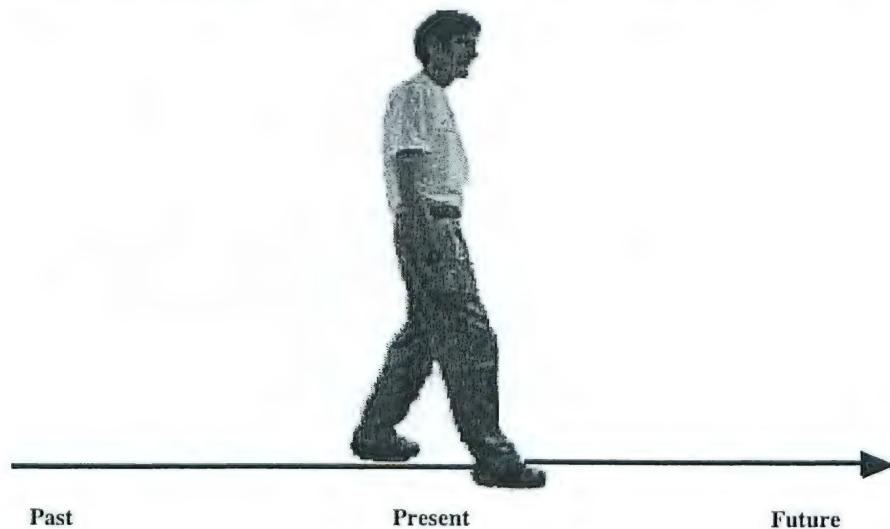
Now, look at a clock and mark what time it is. Look away from the clock and look back again when two and a half minutes have elapsed. How do you tell that that much time has elapsed? Do you experience it in a different way than you did when you considered the relationship between the events in the previous question?

Think of the “now.” How do you know that it is ‘now’? How big is the now? When you think of ‘now’, is it large or is it small? When you think about time, which direction is the ‘past’ and which direction is the ‘future’? For example, is the past behind you, to your left, or somewhere else?

Find a partner or colleague and ask him or her these same questions. Notice how similar or different his or her answers are from yours. You might be surprised at just how much you differ.

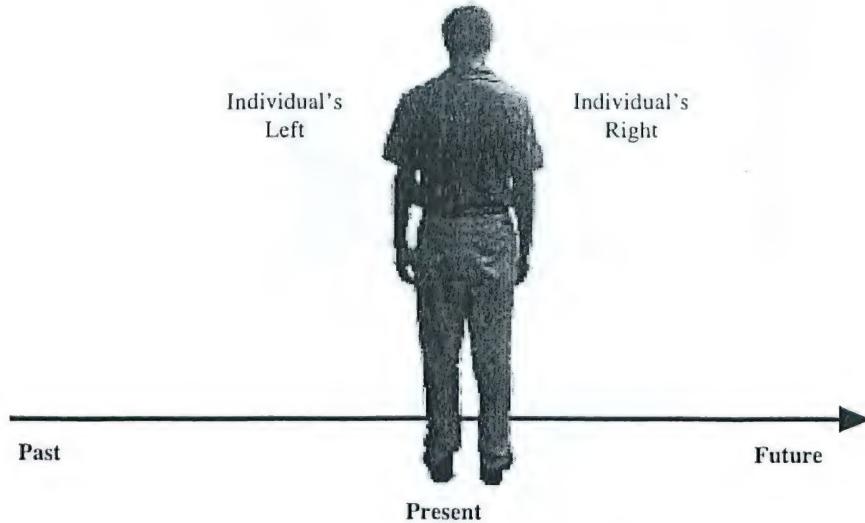
### *‘In Time’ and ‘Through Time’*

In the model of NLP, Freud’s observations relate to two fundamental perspectives one can have with respect to the perception of time: perceiving something “in time” or “through time.” The notion of the “in time” and “through time” time lines first developed in NLP in 1979 with the advent of the so called “meta program” patterns. Perceiving an event “in time” involves taking a vantage point associated within the event that is unfolding; seeing, hearing and feeling what is happening through one’s own eyes, ears and body. From this perceptual position, the ‘present’ is one’s current physical position, with the ‘future’ represented as a line extending off in front of oneself and the past trailing behind—such that one is walking into the future and leaving the past behind. One could, however, reverse one’s direction and walk back into the past (like Einstein’s tram ride). In order to relive or “regress” to an event, one would be experiencing it “in time” in this way.



**“In Time” Time Line**

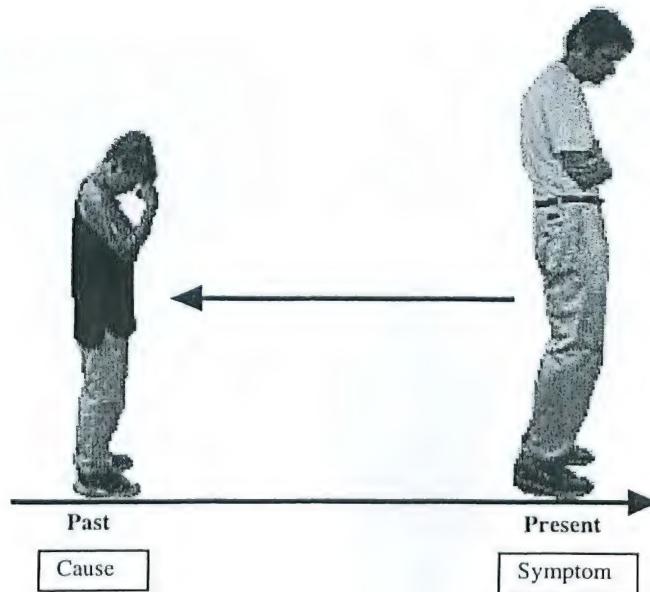
When one perceives events “through time” one takes a vantage point that is outside of the sequence of events, disassociated from whatever is being observed. From this perspective, the ‘time line’ is typically viewed such that the ‘past’ and ‘future’ are lines extending off to the left and right, with the ‘present’ being somewhere in the middle (like Aristotle’s point on the segment of a line). In order to describe an event and its accompanying affect and then put them in temporal relationship with one’s other experiences, one would need to perceive them “through time” in this way.



#### “Through Time” Time Line

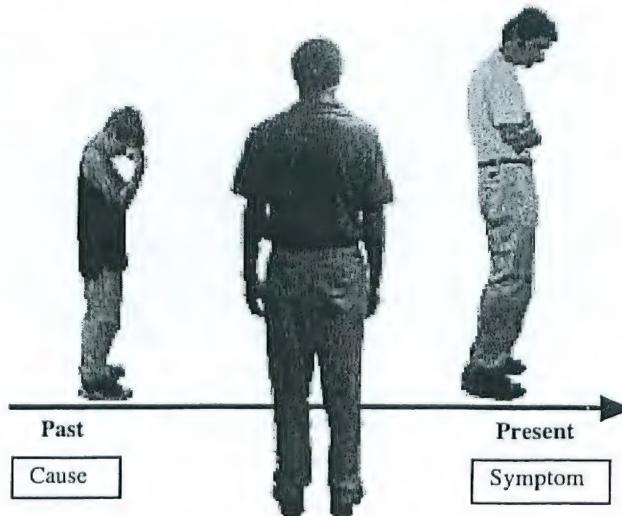
The two perspectives (which may be represented either visually or through the use of actual physical space) create different perceptions of the same event. The “through time” perspective is effective for quantitative analysis, but is more passive because it is disassociated. The “in time” perspective is more active and involved but makes it easier to “lose sight of the whole.”

Many mental and emotional symptoms are the result of a regression “in time,” to past experiences—without having the choice of assuming the more distant “through time” observer perspective. As a result, a person unconsciously reacts in the present as he or she has done at an earlier time in his or her life. As an example, an individual who has a seemingly irrational fear of public speaking in certain circumstances, may find that there was a time when he or she was made fun of or humiliated as a child in front of a class or group of people. Even as an adult, similar circumstances may trigger associations back to the childhood situation which the person feels emotionally but is not conscious of mentally.



### A Symptom in the Present Is Often a Result of a Regression ‘In Time’ to a Past Event

Often, such feelings can be cleared up by shifting from a regressed or associated “in time” perspective to a more disassociated and broader “through time” perspective. This allows the person to understand how and why he or she is having the reaction so that it no longer seems so irrational and frightening. Frequently, this new perspective can often automatically produce a change in the individual’s response, leading to what Freud termed “associative correction.”



### Viewing the “Temporal Relationship” of Past and Present Experiences from a ‘Through Time’ Perspective Changes Its Emotional Affect

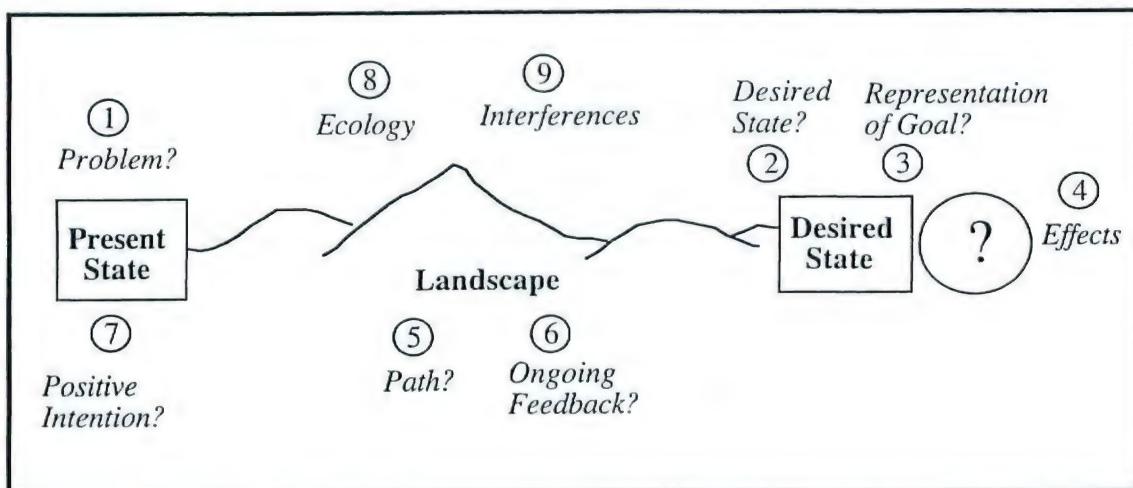
Many NLP methods incorporate two ways of perceiving time, using either mental or physical time lines. In Change Personal History, for example, an emotional symptom is first traced ‘in time’ back to its originating circumstances. The experience is then viewed ‘through time’ in order to get a broader perspective of the events. Finally, resources are brought back ‘in time’ to the original event, creating a new perception of the event and altering its emotional affect.

## Well-Formedness Conditions for Defining a T.O.T.E.

Well-Formedness conditions for defining a T.O.T.E. are essentially extensions of the NLP Well-Formedness conditions for outcomes, with additional emphasis on the present state and the operations to navigate the path to the desired state, and assess one's progress.

### Exercise: Defining a ‘Well-Formed’ T.O.T.E. for Managing Change

The purpose of the following exercise (developed by Robert Dilts in the late 1980’s) is to specify the overall “landscape” involved with making a particular change in your personal or professional life. The various questions relate to particular aspects and perspectives of the ‘problem space, or landscape of change, as is illustrated in the following diagram.



### Relationship of the T.O.T.E. Questions to the Overall ‘Landscape’ of Change

One useful strategy for answering the following questions is to spatially sort them, creating an actual physical path between a location representing your ‘present state’ and one representing your ‘desired state’. The location most relevant to each question is indicated by the corresponding number in the previous diagram.

1. Cleanly sort the experience of the problem or present state. Identify and anchor the problem or present state in a specific spatial location.

Questions: *What is your present state? What is happening now? What are you aware of that is problematic?*

2. Move to a different physical location representing your desired state and describe your goal. Be sure to verbalize the outcome in positive terms. That is, verbally express what is wanted as opposed to what is **not** wanted.

Questions: *What is your goal? What do you want?*

3. Represent the goal or desired state in all sensory modalities.

Questions: *What images, feelings and sounds (smells and tastes) do you associate with your goal? What is a concrete example of your goal? What is a metaphor or symbol for your goal?*

4. Move to a third location just beyond the space where you have located your goal and define the anticipated desired effects of achieving the goal or desired state.

Questions: *What will achieving your goal do for you? What is the longer term purpose of your goal? Why do you want this goal?*

5. Specify the path and range of actions that are necessary to achieve the goal or desired state. This can be facilitated physically by walking along the ‘path’ in between your present state (location 1) and your desired state (location 2).

Questions: *What needs to happen just before you reach your goal? What needs to happen just before that? What specifically will you be doing? What is your plan of action?*

6. Continuing to walk the path between your present state and desired state, define the sensory based evidence(s) from several perspectives which will serve as feedback to indicate progress toward the goal or desired state.

Questions: *How, specifically, will you know that you are going toward or away from your goal? How, specifically, will I or someone else know that you are going toward or away from your goal?*

7. Return to the problem state location (1). Identify any positive intentions or secondary gains that are associated with the problem or present state. Make sure that they are preserved in the goal or desired state.

Questions: *What is the positive intention or purpose (e.g., “protection”, “motivation”, etc.) of the present state? What positive consequences or “by-products,” in any way, do you get (have you gotten) from this problem (e.g., attention, growth, new perspectives, etc.)? How will you continue to get these positive intentions or results in your desired state?*

8. Move to an ‘observer position’ and consider the intervention path that you have created. Define the ecological implications (systemic effects) of achieving the goal. Take the point of view of anyone else (or any other internal parts) that will be affected by and can influence your achievement of the goal.

Questions: *Who else might be affected by your goal and how will they be affected? How will other people (or parts of yourself) perceive and react to my accomplishment of the goal or your actions or plans to achieve the goal?*

9. Specify any anticipated problems or interferences in achieving your goal and what you plan to do to address them.

Questions: *What could stop you or get in your way to accomplish your goal? Is there anything you could lose or would have to give up in order to attain your goal? What resources can you mobilize to deal with these potential problems and interferences?*

## NLP Strategy Formulation Format

*Strategic thinking skills* are necessary in order to define and achieve specific goals and objectives. Strategic thinking involves the ability to identify a relevant desired state, assess the starting state, and then establish and navigate the appropriate path of transition states required to reach the desired state. A key element of effective strategic thinking is determining which operators and operations will most efficiently and effectively influence and move the present state in the direction of the desired state.

*Strategy formulation* (in contrast to problem solving) begins with a definition of the desired state. The present state is then assessed in relation to the desired state in order to establish the path of ‘transition states’ leading to the desired state. It is preferable to operate ‘backwards’ – from desired state to present state – in forming the path whenever possible.



### Strategy Formulation Involves Operating ‘Backwards’ – From Desired State to Present State – in Order to Establish the Path of ‘Transition States’ Leading to the Desired State

The next phase in formulating a strategy involves identifying the relevant gaps and missing links between the steps in the path. A final stage involves defining the operators and operations (the *what, how and who*) necessary to adequately influence the present state of the system and navigate the path to the desired state.

The NLP strategy formulation format utilizes the principle of ‘backward planning’ to create a path from a desired state to one’s present state. The steps involve:

1. Lay out a physical time line. Have the explorer imagine a line, extending from left to right, on the ground in front of him or her. This line is to represent the explorer’s past, present and future. Establish a ‘meta position’ off of the time line.
2. From meta position have the explorer defines a desired long term effect (vision) related to his or her life or career path. Ask the explorer to consider his or her present state in relation to the desired state and identify a point along his time line that represents a gap between present state and desired effect that is motivating but not overwhelming – a gap that draws the explorer into it.

#### Phase I

3. Have the explorer associate onto the time line in the future into the space representing this desired effect. Elicit a full sensory representation of the desired effect making sure the explorer’s physiology is symmetrical and resourceful. The explorer is to take three steps backwards on the time line to reach the location representing the ‘present’.
4. Have the explorer take a step backward on the time line and ask, “What will happen just before you reach this effect?” Define at least three levels (who, why, how, what, where or when) and significance others who are relevant for each step.
  - a. For each step ask the explorer “What are you doing at this point?” “How are you doing it?” “Where are you now?” “Who are you?” “Who else is involved or needs to be involved?” When the explorer answers make sure he or she uses first person, present tense – i.e., “I am....”
  - b. Have the explorer fully experience what that will be like in all senses from the associated position.
5. Watch for any interferences, which may show up in one of the following ways:
  - a. The explorer’s physiology shifts significantly.

- b. The explorer experiences difficulty in accessing a complete representation.
  - c. The explorer experiences a resistance or block.
6. If there is a resistance or difficulty:
- a. Go back to the previous space where the explorer could fully embody the resourceful desired effect and try taking a smaller step.
  - b. Have your explorer remove the resistance from the ‘landscape’ and ask:
    - 1) What is the positive intention of this resistance or block?
    - 2) What resources (existing or mobilizable) do I have available to address these causes? What strengths (self), support (others) and opportunities (environment) do I have?
    - 3) Have the explorer go back to the previous space where he or she could fully embody the resourceful desired effect, act “as if” he or she has already resolved the difficulty with the resources you have identified and step backward once more.
  - c. Give the symptom a name and step around it for the time being.

*Phase II*

7. When the explorer has successfully reached the ‘present’ location, have him or her go forward along the ‘landscape’, chunking down the space between the three steps to smaller increments in order to find missing links. Guide is to use the meta model (Precision model) to help the explorer specify the movement between each step.

*Phase III*

8. In the space below, make a paper map of the explorer’s landscape and plan in the form of a symbolic drawing or block diagram.

## Somatic Syntax

There is an old New Guinea proverb which states, “*Knowledge is only a rumor until it is in the muscle.*” This saying defines one of the basic premises of Somatic Syntax. Somatic Syntax was developed by Judith DeLozier and Robert Dilts in 1993 as a way to further deepen and utilize the ‘mind-body’ connection. The term “somatic” comes from the Greek word *soma* which means “body”. *Syntax* is a Greek word meaning “to put in order” or “arrange”. Thus, Somatic Syntax has to do with the organization of our physiology and ‘body language’.

One of the primary objectives of Somatic Syntax is to mobilize and utilize the ‘wisdom of the body’. As author Morris Berman points out in his book *Coming to our Senses*:

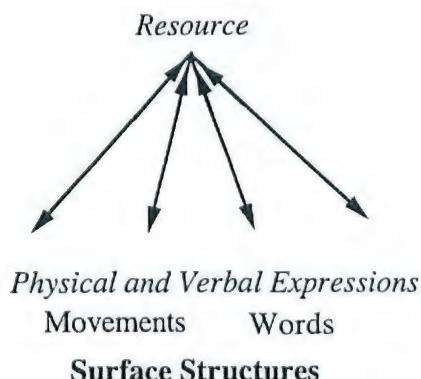
*“Western academic understanding, including philosophy and anthropology as well as history, tacitly assumes that the body had nothing to tell us, has no knowledge or ‘information’; that for all practical purpose, its isn’t even there. And yet the life of the body is our real life, the only life we have.”*

A fundamental principle of Somatic Syntax is that there is ‘information’ in the body and ‘knowledge’ in ‘the muscle’.

A key inspiration for the development of Somatic Syntax comes from Noam Chomsky’s theories of transformational grammar (1956, 1966). According to Chomsky, sensory and emotional experiences (deep structures) may be expressed through a variety of linguistic descriptions (surface structures). Deeper structures reach the surface after a series of ‘transformations’. These transformations act as a type of filter on the experiential deep structures. According to Grinder and Bandler (1975) the movement from deep structure to surface structure necessarily involves the deletion, generalization and distortion of some aspects of the original deep structure. Many important clues about the deep structure, however, are expressed and reflected in the verbal surface structure. Somatic Syntax applies these principles of digital (verbal) language to analog (kinesthetic) expression.

As an example of the relationship between ‘deep structure’ and ‘surface structures’, most of us learned to write using our right or left hand. Yet, once our hand has learned this skill, it can be immediately transferred to other parts of the body. For instance, we can easily write our name in sand with our left big toe or make letters by holding a pencil in our mouth, even though the physical structures of these parts of our bodies are completely different. The deep structure related to the form of the letter is not tied to any particular part of the body. It can be generalized to many surface structures.

### Deep Structure



One of the purposes of Somatic Syntax (according to the language of self-organization theory) is to deepen and widen the ‘attractor basin’ of a particular internal state or resource. Somatic Syntax essentially uses the movement of the body as a way to strengthen, integrate and generalize deep level resources. By exploring the physical form and organization of the movements associated with a particular state, we can learn to better express or manifest that state in more situations, and increase our flexibility. In this way, Somatic Syntax helps to deepen our understanding and ability to utilize knowledge by bringing it more “into the muscle.”

At another level, because physical movement is related to ‘analog’ expression, it is more systemic and not ‘linear’. Consequently, exploring Somatic Syntax brings us closer to our experiential deep structures. Thus, another application of Somatic Syntax is to help recover and express parts of deeper structures that may be deleted or distorted by other forms of expression. In the words of the famous dancer Isadora Duncan, “*If I could say it I wouldn’t have to dance it.*”

### *The Body as a Representational System*

One of the tenets of Somatic Syntax is that the body itself is a ‘representational system’. Rather than considering the body as simply some kind of mechanical shell for inputting and outputting signals to and from the brain, Somatic Syntax views the body as a means for representing and processing information.

The typical NLP perspective has been that all our information about the world around us is relayed by the senses to the brain, where it is centrally represented and processed. Recent research, such as that relating to the *enteric* nervous system surrounding the stomach, has demonstrated that there are sophisticated information processing networks distributed throughout the body, with a structure corresponding in complexity to that of our cerebral cortex.

According to Somatic Syntax, we can use our bodies to make a model of the world just as we do with our other representational systems. We can represent key relationships in the world around us and in our personal history in the relationship between parts of our body. For example, our perception of the relationship between our mother and father could be represented by the relationship between our left and right hands, or between our chest and our stomach.

In addition to being able to input, process and output information, all representational systems have the capability to represent information in at least two ways: literally and figuratively. That is, each of our sensory systems can form maps that have either a direct correspondence or a more metaphorical connection to the phenomenon we are representing. For example, we can visualize the white cells of our bodies as we have seen them under the microscope, or as looking like octopi or ‘Pac-Men’ video game characters. Similarly we can speak of our brains literally as “a network of neurons”, or figuratively as being “like a computer.” Likewise, we can experience a particular emotional symptom as a certain set of kinesthetic body sensations or as a “knot” in the stomach.

As a representational system, our bodies have a similar double capacity. We can express movements which are the literal response to a particular situation, or create expressions which are more metaphorical, as in a dance. (This is the basis of Judith DeLozier’s ‘Dancing S.C.O.R.E.’ format.) A state of anxiety, for instance, may be literally represented by reproducing the physical effects which accompany a feeling of anxiety (such as tensing up the muscles in one’s face and shoulders), or figuratively represented by placing one’s arms over one’s head and eyes, as if hiding from something dangerous. As is the case with our other representational modalities, metaphorical representations are often more meaningful and impactful (because they carry multiple levels of information). According to anthropologist Gregory Bateson, the mode of representation characterized by Somatic Syntax is the primary way in which most animals communicate. An adult male wolf, for example, may treat another adult male wolf with the same behavior used by a mother wolf toward her cub, as a sign of reproachment or dominance.

### *Applying Somatic Syntax*

Somatic Syntax is the study of how movement may be used to help bring knowledge *into* the muscle, and to help draw out knowledge *from* the muscle. It is a means to access the “wisdom of the body.” According to Somatic Syntax, repetitive structures of movement can form the framework surrounding particular thinking process; and thus influence its conclusions. As Moshe Feldenkrais pointed out (in *Body and Mature Behavior*, 1949):

*“A recurrent emotional state always appears together with the attitude of the body and the vegetative state with which it was conditioned earlier. Therefore, when an individual emotional complex has been resolved, a specifically individual body habit is resolved simultaneously.”*

The most fundamental tool that we have for conducting our lives and building our futures is our own body and nervous system. Certainly the manifestation of our thoughts and dreams must eventually come through our body or physiology in some way. Our mental activity becomes manifested into the world through our words, voice tone, facial expression, body posture, the movement of our hands, etc. And the way in which we use these fundamental instruments of life is greatly influenced by the types of physical practices and disciplines we adopt.

A healthy and creative mental life, for instance, is often accompanied by movement of some type. Mozart, for example, wrote that his musical ideas flowed “best and most abundantly” during times of movement, such as “traveling in a carriage, or walking after a good meal.” The following exercises were developed by Dilts and DeLozier as ways of exploring and applying Somatic Syntax to develop one’s own resources more fully, model the resourceful states of others, and transform “stuck states.”

## Somatic Syntax Exercises

### Phase 1: Exploring the Landscape

1. Identify a movement associated with a resource state (1st position present).
2. Explore the ‘organization’ (deep structure) of the movement by changing different aspects of it (i.e., quality, speed, parts of the body involved, direction, etc.).
3. Notice which changes:
  - a. Intensify/make more of the state.
  - b. Dampen/make less of the state.
  - c. Change the state to a different state.
4. If a particular movement dampens the state or changes it to a different state, explore what changes you would have to make in other parts of your body in order to reaccess and maintain the original resource state.

### Phase 2: Widening the ‘Basin’

Choose three common actions/‘macro’ behaviors (walking, carrying something, sitting, writing). For each action:

- a. From an associated position present, start making the resource movement you have been exploring in phase 1.
- b. Begin the action and adapt the resource movement to fit that activity in the way that is most natural and preserves the full experience of the resource.

### Phase 3: Enriching the Deep Structure

Take the ‘organization’ associated with the movement identified in phases 1 & 2 into two other perceptual positions (i.e., 1st position future, 2nd position present, 2nd position past, etc.). For each new space:

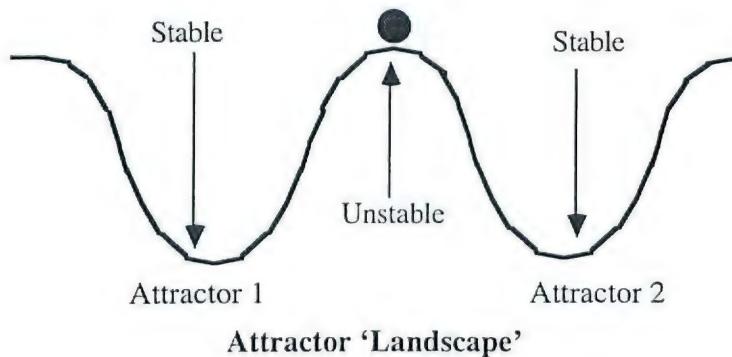
- a. Associate into the new space. Fully adopt the physiology associated with that space.
- b. Return to 1st position present and re-access the resource state and movement.
- c. Bring the movement ‘as is’ into the new space.
- d. Adapt the resource movement to ‘fit’ that position most ecologically and elegantly.
- e. Return to your first position and notice how your experience of the resource has been deepened or enriched.

### Phase 4: Adding to the Landscape

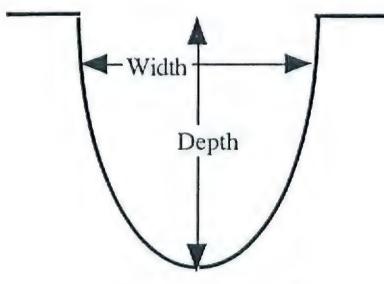
- a. From 1st position, imitate the resource movement of another person (i.e., you doing the other person’s movement).
- b. Go to 2nd position with the other person and do the movement (i.e., be the other person doing the movement).
- c. Go to 3rd position. What do you learn about yourself, the other person and the resource?
- d. Return to first position, taking with you some aspect of the other person’s resource (deep structure and surface structure) that is both ecological and enriching to your landscape. Express it as a movement.

## Self-Organization Theory

'Self-organization' theory relates to the process of spontaneous order formation in complex dynamic systems. According to 'self-organization' theory (Haken, Kruse), order is formed around a 'landscape' of 'attractors' which help to create and hold stable patterns within the system.



The 'strength' of an attractor is determined by the 'depth' and 'width' of its 'basin'. The 'depth' of the basin relates to the intensity of the resource. The 'width' of the basin relates to how easy the resource is to access in different situations.



Attractor Basin

'Self-organizing' systems are made of interconnected elements formed by associative processes based on the 'Hebb' rule which states that if two elements in a similar state respond simultaneously, their connection is strengthened.

Self organizing systems may be 'autopoetic' and/or 'self-referenced'. *Autopoetic* systems survive on their own by reproducing their own orders and patterns. *Self-referenced* systems construct their own reality by applying internally generated principles and rules.

### Change Processes

In self organization theory an attractor landscape is unveiled by the process of *iteration*.

Landscapes are altered through the process of *destabilization* and subsequent *restabilization* around a new system of attractors.

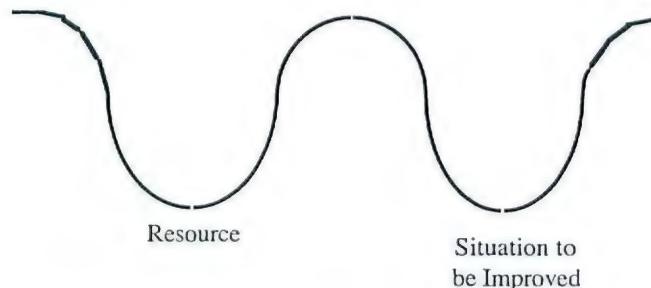
### Management of change

The key elements influencing strategies for managing change in self organization theory are *complexity* and *stability*.

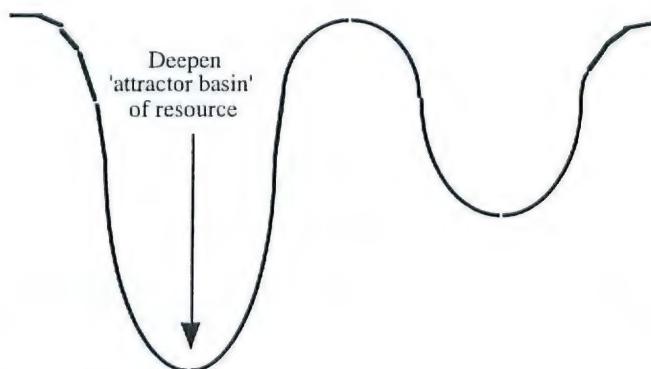
- In simple and stable systems change can be managed by pre-programmed reactions or 'techniques'.
- In complex but stable systems change may be managed by rules and regulated through 'negative' feedback loops.
- In simple but unstable systems change may be managed through strategies and 'intervention paths'.
- In complex and unstable systems must be managed through constant surveillance and establishment of generative processes.

## 'Landscaping' Exercise

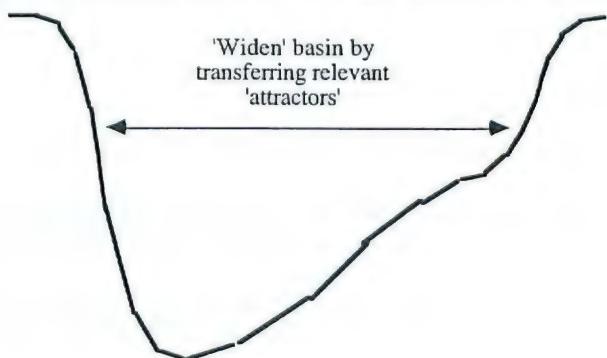
1. Identify a resource state relating to physical vitality and health that you would like to have more of in your life.
2. Identify a situation or context in which you would like to have more of this state of vitality.
3. Establish a meta position and sort the two experiences identified above into separate spatial locations.



4. Associate into each of the two experiences and explore the current 'landscape' by changing various parameters one at a time, and noticing what happens.  
i.e., Physiology, Representational Systems, Submodalities (R.O.L.E. & B.A.G.E.L), Metaphor
5. Associate into your state of vitality and 'deepen' the 'attractor basin' by finding which parameters intensify the experience.



6. 'Widen' the 'attractor basin' of the state of health and vitality by:
  - a) stepping into the location for the situation or context to be improved.
  - b) 'destabilize' the landscape by shifting the relevant cognitive or physiological patterns.
  - c) transferring the 'attractors' associated with the resource experience (e.g., adding new physiology, mapping across submodalities, creating a symbolic anchor, etc.).

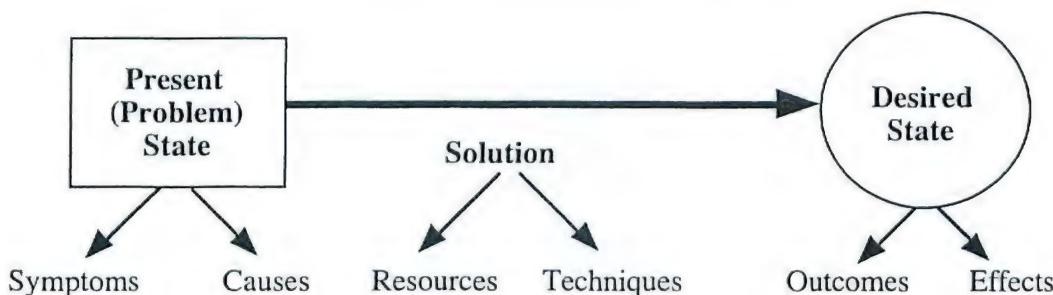


## The S.C.O.R.E. Model

The S.C.O.R.E. Model was developed by Robert Dilts and Todd Epstein in 1987 to describe the process that they were intuitively using to define problems and design interventions. It arose as a result of a series of supervision seminars that they were leading on the applications of NLP. Dilts and Epstein realized that they were systematically organizing the way they approached a problem different from their advanced NLP students, and which allowed them to more efficiently and effectively get to the root of a problem. The two men noticed that what they were doing intuitively but systematically was not precisely described by any of the existing NLP techniques or models.

The traditional NLP approach to problem solving up to that point was oriented around defining (1) a present state or “problem state,” (2) establishing a desired state or goal, and then (3) identifying and implementing the steps of the solution or procedure that would hopefully help someone resolve the problem state and get to their desired state. Dilts and Epstein found that they were consistently breaking these various elements of problem solving down into smaller pieces during the information gathering process. In defining “problem states,” for example, they were constantly distinguishing between the “symptoms” which characterized the problem and the “causes” of those symptoms. To establish desired states and goals, they found it important to distinguish between the specific behavior or “outcome” which represented the desired state and the longer term “effects” (which were often not at the level of behavior) that were the anticipated consequences of that outcome. Dilts and Epstein further noticed that it was important to separate techniques from the deeper “resources” that those techniques were attempting to mobilize and activate as the means to reach the solution which would transform problems and achieve desired goals.

The letters “S.C.O.R.E.” stand for these additional distinctions made by Dilts and Epstein: Symptoms, Causes, Outcomes, Resources and Effects. According to the model, these elements represent the minimum amount of information that needs to be addressed by any process of change or healing.



### The S.C.O.R.E. Model Makes Additional Distinctions with Respect to the Traditional NLP ‘Present State—Desired State’ Model of Problem Solving

It is interesting to note that the term *score* has several relevant connotations in English. The word derives from the Old Norse word *skor*, which means “notch” or “cut.” Merriam-Webster’s Dictionary defines a “score” as “a mark used as a starting point or goal” or “a mark used for keeping account.” When a score is kept in a game or athletic competition, for instance, its purpose is to track the current status of the interaction (i.e., ‘Present State Pirates’—0, ‘Desired State Daredevils’—4).

Thus, a ‘score’ is a means of keeping track of the progress of some event or interaction. A “musical score,” for instance, refers to the description of the music for a movie or theatrical production. The “score” of a dance is a description of the dance composition, made in special choreographic notation. The term is even used to mean “the stark inescapable facts of a situation.” It is said, for instance, that a person “knows the score” when he or she understands all of the relevant issues involved in a particular situation.

Another use of “score” is as the expression of accomplishment (as in a game or test), or excellence (as in quality), either absolutely in points gained or by comparison to a standard. “Score” can even be used to refer to the act of accomplishment itself. A “score,” for example, is the term used for a goal, run, or touchdown, in any of various games or contests that gains points. It can even be used to indicate

general success in obtaining something desirable.

The NLP S.C.O.R.E. Model incorporates all of these implications to some degree. In fact, the ultimate purpose of gathering information and forming it into a S.C.O.R.E. is to “tell the story” of the path from present state to desired state. Similar to the score of a theatrical production, each part of the S.C.O.R.E. for a problem must “hang together” in some type of meaningful whole. Thus, the S.C.O.R.E. model is more than a list of analytical categories. It defines the minimum information necessary to get a sense of the ‘story of change’ necessary to resolve a particular problem.

## Dancing S.C.O.R.E. Format

The Dancing S.C.O.R.E. format was developed by Judith DeLozier in 1993, as a means of using physical movement and spatial sorting to maximize intuition and the “wisdom of the body” in problem solving.

The S.C.O.R.E. Model (Dilts & Epstein, 1987, 1991) is essentially a problem solving model that identifies the primary components necessary for effectively organizing information about the problem space, related to a particular goal or process of change. The letters stand for Symptoms, Causes, Outcome, Resources, and Effects. These elements represent the minimum amount of information that needs to be gathered to effectively address that problem space.

1. Symptoms are typically the most noticeable and conscious aspects of a presenting problem or problem state.
2. Causes are the underlying elements responsible for creating and maintaining the symptoms. They are usually less obvious than the symptoms they produce.
3. Outcomes are the particular goals or desired states that would take the place of the symptoms.
4. Resources are the underlying elements responsible for removing the causes of the symptoms and for manifesting and maintaining the desired outcomes.
5. Effects are the longer term results of achieving a particular outcome. Specific outcomes are generally stepping stones to get to a longer term effect.
  - a. Positive effects are often the reason or motivation for establishing a particular outcome to begin with.
  - b. Negative effects can create resistance or ecological problems.

*Techniques* are sequential structures for identifying, accessing and applying particular resources to a particular set of symptoms, causes and outcomes. A technique is not in and of itself a resource. A technique is only effective to the extent that it accesses and applies the resources which are appropriate to address the the whole system defined by the other S.C.O.R.E. elements.

One effective way to use the S.C.O.R.E. Model is to organize these elements on a ‘time line’. Typically, the symptoms are something you are experiencing now, in the present, or have experienced the recent past. The causes of those symptoms tend to precede the symptoms. That is, the cause of a symptom comes before symptom in time—either immediately before the symptom, or potentially much earlier. Outcomes occur in the same time frame as the symptom, since the outcome is what you want to replace the symptom with. So if the symptom is in the present, the outcome will also be in the present or in the very near future. Effects are the longer term results of the outcome. They are usually in the short term to long term future. Resources can come from anywhere in time. A resource can be something that just happened to you, something that happened to you a long time ago, or it could be something you are imagining that could happen in the future.

The Dancing S.C.O.R.E. involves placing each of these elements in a sequence, on a time line, such that the cause of the symptom is the first step in the sequence, at a location representing the past. The symptom can be placed in a location representing the present or ongoing time frame. The desired outcome would be positioned slightly beyond the present to a location representing the time frame in the future, in which the outcome is to be achieved. And the effect would be placed somewhere just beyond the outcome. One advantage of using physical locations is that they help to sort out more easily

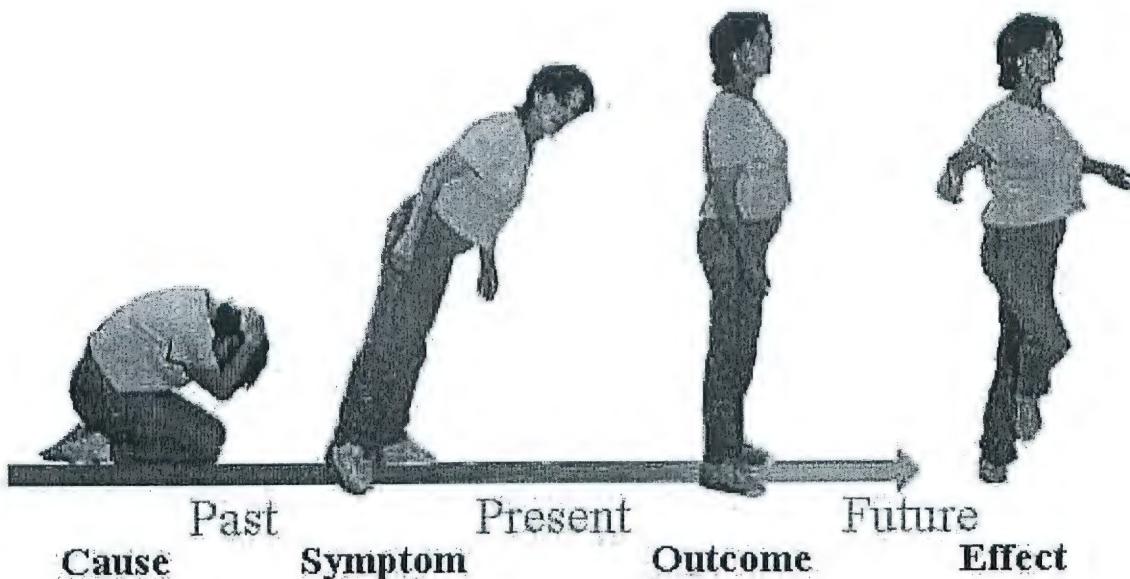
and clearly the different parts of the S.C.O.R.E. and keep them separate. It also makes it possible to tangibly and experientially explore the physiological patterns (such as posture, breathing, movement, etc.) associated with each element.

According to Webster's Dictionary, "dance" is "a series of rhythmic movements which have as their aim the creation of a visual design by a series of poses and tracing of patterns through space and time." Dance often starts as simple emotional expression, but then develops into a design—a planned organization of patterns of movement incorporating space, sequence and rhythm. When a particular physical pattern of expression has its own set of steps, gestures, and dynamics—it becomes a specific dance.

The Dancing S.C.O.R.E. format incorporates the principles of both dance and the S.C.O.R.E. Model in order to promote mind-body relationship, access and mobilize deep resources, and create a self-organizing pathway towards a particular desired state.

#### *Steps of the Dancing S.C.O.R.E. Format*

1. Think of a problem you are trying to solve.
2. From a 'meta position', lay out four locations in a sequence representing the cause, symptom, outcome and desired effect related to the problem.



**Physical Layout of the Starting Positions for the 'Dancing S.C.O.R.E.'**

3. Physically associate into the symptom experience. Pay special attention to the pattern of movement associated with that experience. Allow the internal state that you feel in that location to expand and become more fully expressed in a movement.
4. Take a step backwards into the 'cause' space. Allow the feeling and movement associated with the symptom to intuitively guide you to the cause of that symptom. Fully express the experience of the cause in movement. Notice any changes or exaggerations in the movement.
5. Break state and go to 'meta position'. Move into the outcome location and create a full associated experience of your desired state. Fully express this state through the movement of your body.
6. Step forward into the 'effect' space and feel the results of having achieved your outcome. Spend special time with this state to get a full physical representation of these desired effects.

7. Starting in the ‘cause’ location, walk slowly through the entire sequence. Be sure to go slow enough between the symptom and the outcome locations to notice how your body intuitively connects these two spaces. Repeat this process several times until there is a sense of a single movement from cause to effect (the dance).
8. Go to meta position and let your body intuitively lead you to a special movement representing the appropriate resource to add to the ‘dance’ sequence.
9. Starting in the cause location, incorporate the resource movement into the other movement associated with that location. Walk through the other locations adding the resource movement to the other movements until you have reached the effect space.
10. Repeat the movement through cause, symptom, outcome and effect until you have transformed it into a kind of ‘dance’.

## Guide Checklist for Dancing S.C.O.R.E. Format

Meta Person: \_\_\_\_\_

Guide: \_\_\_\_\_

Explorer: \_\_\_\_\_

<u>Goals</u>	<u>Evidence/Examples</u>
___ Established rapport before starting.	—
___ Established meta position before starting.	—
<b>Steps 1 &amp; 2</b>	
___ Identified relevant problem.	—
___ Established four S.C.O.R.E. locations.	—
___ Guide kept Explorer in Meta Position.	—
<b>Step 3</b>	
___ Guide coached Explorer into an associated experience of the Symptom.	—
___ Guide elicited movements associated with the Symptom.	—
___ Guide mirrored Explorer's movements.	—
<b>Step 4</b>	
___ Guide kept explorer in an associated position.	—
___ Guide coached Explorer into an associated experience of the Cause.	—
___ Guide elicited movements associated with the Cause.	—
___ Guide mirrored Explorer's movements.	—
<b>Step 5</b>	
___ Guide assisted Explorer into a congruent Meta Position.	—
___ Explorer demonstrated physiology of meta position.	—
___ Guide backtracked Explorer's movements in the appropriate locations.	—
___ Guide coached Explorer into an associated experience of the Outcome.	—
___ Guide elicited movements associated with the Outcome.	—
___ Guide mirrored Explorer's movements.	—

## Congruence

According to Webster's Dictionary, "congruence" in a system is "marked by inner harmony, coherence, or agreement of its parts." In NLP, a state of congruence is a result of all of a person's internal beliefs, strategies and behaviors being in full agreement and oriented toward securing a desired outcome. For this reason, congruence is considered an essential resource state in NLP. The notion of congruence has been fundamental to NLP since its inception.

In *The Structure of Magic Volume II* (1976), Grinder and Bandler defined congruence in the following way:

*The term 'congruency' is used to describe a situation in which the person communicating has aligned all of his output channels so that each of them is representing, carrying or conveying the same or a compatible message. When all of a person's output channels (body posture and movements, voice tonality and tempo, words) are representing the same or compatible messages, the person is said to be congruent. Other people's experience of a congruent human being is usually described in terms of that person having personal presence, knowing what he is talking about, being charismatic, dynamic and a host of other superlatives. (p. 45)*

Congruence may be contrasted with "incongruence," which refers to a state of inner conflict resulting from inner struggle, typically at the level of beliefs or identity. These struggles are usually at deeper level and are less conscious than typical cognitive activities. For this reason, the factors influencing states of congruence or incongruence are often outside of awareness. Thus, maintaining a state of congruency involves learning to pay attention to and interpret signals from one's unconscious mind.

The following exercise provides a process for developing sensitivity to internal signals relating to congruency and incongruency.

### Drill: Calibrating Inner Congruency

Form a group of two and choose to be either A or B.

1. A chooses three different instances in which he or she was congruent. A spatially locates each situation, steps into each one, and takes an inventory of his or her physiology. A should make sure to "break state" between each location by moving or shaking his or her body.

While A is reliving each experience, B is to observe for any relevant physical cues, and identify a common "signal" related to all three experiences.

2. A is to identify an internal signal that common to all three examples. B then gives feedback to A about the signal(s) B observed from the outside.
3. B asks A if he or she can reproduce the internal signal(s) consciously. If A answers "yes," A will repeat the process and find a signal that is difficult to make consciously. If the signal is difficult or impossible to recreate consciously, then this is a useful unconscious signal for detecting congruence.
4. A chooses three different examples of instances when he or she was incongruent. Repeat steps 1 through 3 above to discover an unconscious signal for incongruence.
5. A is then to imagine and associate into a future situation in which it is important for him or her to be congruent. Both A and B "calibrate" A's state of congruency with respect to the future situation.

There are a number of methods with which to achieve or regain a state of congruency in NLP, depending on the situation and issues involved. The processes of Level Alignment, Reframing, Conflict Integration, Collapsing Anchors and the Visual Squash are all techniques which can help people to become more congruent in different ways.

## The Principle of ‘Positive Intention’

One of the most important and useful principles for managing change relates to the notion of ‘positive intention’. This principle is especially valuable when dealing with resistances and objections. The principle essentially states that: *At some level, all behavior is intended or has been developed for some “positive purpose”*. According to this principle, for instance, resistances or objections would actually emerge from some underlying positive intention or purpose. For example, the positive purpose behind the objection, “It is not desirable to be successful,” may be to ‘protect’ the speaker from oversaturation or failure. The positive intention behind a resistance such as, “It is not possible to change,” might be to prevent ‘false hope’ or to avoid unrewarded effort.

The principle of positive intention implies that, in order to successfully change a resistance or limiting belief, these underlying concerns, or positive purposes, must be acknowledged and addressed in some way. The positive intention behind a resistance or limiting belief may be addressed directly or by widening the person’s map of the situation such that they are able to see choices for satisfying their positive intent other than resistance or interference.

In fact, resistance created by positive intentions often arise from other limiting (and unrecognized) assumptions. For instance, the reason that a person may feel threatened by the “success” may be because that person does not feel he or she has the skills or support to deal with the social impact of being successful. This concern may be addressed by providing the appropriate coaching and guidance for developing the necessary resources. Another way to address this might be to help the person realize that he or she already has the capabilities necessary and is going to be supported.

It is also important at times to inquire directly about the positive intention or purpose behind a particular resistance or limiting belief.

The principle of positive intention is derived from the deeper assumption that people make the best choices available to them given the possibilities and capabilities that they perceive to be accessible within their model of the world. NLP processes, such as *Reframing*, are ways to help people widen their map of a situation and perceive other choices and options.

Thus, when managing an objection or resistance, it is useful to begin by acknowledging its positive intent and then lead to a wider space of perception or thinking. It is especially important to separate a person’s identity and positive intention from their behaviors. In dealing with interferences, an effective strategy is to first acknowledge the person or their positive intent and then respond to the issue or problem as a separate issue.

It is important to realize that one can acknowledge another person’s point of view without having to agree with that person, i.e. it is different to say “I understand that you have this perspective”, than to say, “I agree with you”. Saying, “I appreciate your concern”, or “That is an important question” is a way to acknowledge the person or their intention without necessarily implying that their map of the world is the right one.

In summary, according to the principle of positive intention, when dealing with resistance to change it is important and useful to:

- 1) Presuppose that all behavior (including resistance and limiting beliefs) is positively intended.
- 2) Separate the negative aspects of the behavior from the positive intention behind it.
- 3) Identify and respond to the positive intention of the resistant/problem person.
- 4) Offer the person other choices of behavior to achieve the same positive intention.

## 6-Step ‘Reframing’

To “reframe” something means “to transform its meaning by putting it into a different framework or context than it has previously been perceived.” This is most commonly accomplished in NLP by finding the “positive intention” or “positive purpose” related to a particular symptom or problematic behavior. One of the basic principles of NLP is that it is useful to separate one’s “behavior” from one’s “self” – that is, to separate the positive intent, function, belief, etc., that generates the behavior, from the behavior itself. In other words, it is more respectful, ecological and productive to respond to the ‘deep structure’ than to the surface expression of a problematic behavior.

*Six-Step Reframing* is a process used in NLP in which a problematic behavior is separated from the *positive intention* of the internal program or “part” that is responsible for the behavior. The seemingly negative behavior is “reframed” because it becomes viewed within the framework of the positive purpose it is intended to serve. This often results in important insights and new understandings with respect to the “problematic” behavior. It also helps to shift the focus from the behavior to the higher level motives which drive it. New choices of behavior can then be established by identifying and implementing alternative behaviors that satisfy the same higher level positive intention but do not have the problematic by-products or consequences.

A main objective of Six-Step Reframing is to enlist the cooperation of the the internal ‘part’ of a person related to the problematic behavior in communicating its positive purposes or intentions. The same inner ‘part’ must also be involved in approving and implementing the new alternatives for satisfying those intentions. Thus, the first ‘step’ of Six-Step Reframing is to identify the “part responsible” for the problematic behavior and establish a line of communication with that part.

Frequently, the ‘parts’ responsible for problem behaviors (especially behaviors that we have not been able to easily change) do not have a great deal of associative contact with our “normal consciousness” (which is part of the reason it is a problem). In such cases, a person may have limited conscious awareness of the communications coming from those parts. In the NLP view, however, as long as the signals are clear enough to discover the positive intention and find effective alternatives, complete conscious awareness is not required. The key is to establish a “channel of communication” with the “part responsible” for the symptom or problematic behavior. As long as there is an effective channel of communication with the part, the details do not have to be conscious.

Many aspects of the Six-Step Reframing format were formulated by Grinder and Bandler as a result of the integration of their work with hypnotic cues and signals, derived from their study of Milton Erickson, and Virginia Satir’s process of coaching people to negotiate with various parts of themselves. Six-Step Reframing, in fact, was often originally done as a hypnotic technique, in which the subject was “in trance” and not consciously aware of the signals being given by his or her “unconscious mind.” Idiomotor movements, such as finger signals, were used as the channel of communication with the ‘part’ responsible for the behavior to be changed. It was later discovered that the process could be just as effective whether or not the individual was “in trance” and conscious of his or her responses.

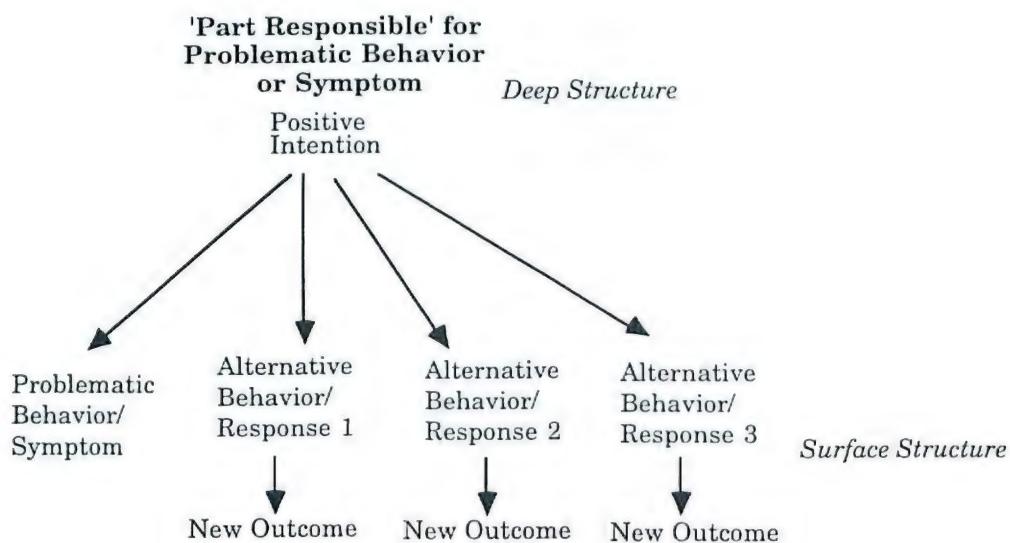
The key to the success of Six-Step Reframing is not simply the communication with part responsible for the problem behavior, or even the insight into its positive intention. Rather, the key is to negotiate effectively and find acceptable alternatives to the behavior. This is why coming up with other choices is such a critical part of the technique.

To find these new choices, it is important to access a way of thinking that is ‘different from the way of thinking that has been creating the problem’. While suggestions and ideas can be posed by the facilitator, it is generally more effective and ecological to have the individual generate his or her own new choices. (As Freud wisely pointed out, “Knowing on the part of the physician is not the same thing as knowing on the part of the patient and does not have the same effect.”) New choices are typically generated by having the individual access his or her ‘creative part’ – a part of consciousness that comes from or is associated with a creative state.

Again, because the ideas associated with the ‘part responsible’ for a symptom may have been cut off from “associative communication”, it is important to verify that this part of the person understands and accepts the alternatives being offered. If it does not accept them, new choices may be generated and offered until at least three acceptable options have been established.

A final step in the NLP ‘reframing’ process, is to check the ‘ecology’ of these new choices with the individual’s “normal consciousness” and any other ‘parts’. This is to insure that the new alternatives do not conflict with or interfere with the positive functions or purposes of any other aspect of the individual’s system. If there are objections, the ‘part’ responsible for the objection can then become the focus of the process. The ‘reframing’ cycle is repeated with that part to find its positive

intention and determine what other choices it needs in order to be able to satisfy those intentions in the context of the changes in behavior associated with the other ‘part’.



#### **‘Six-Step Reframing’ Involves Adding at Least Three Other Choices Which Satisfy the Positive Intention But Do Not Have the Negative Consequences**

Six-Step Reframing is an example of the application of the NLP principle of ‘pacing and leading’ to working with problematic or unwanted behaviors. Rather than trying to shame the person, or attempt to fight with or eradicate the person’s behavior or ‘symptom’, ‘pacing’ involves acknowledging the various parts of the person and attempting to understand the positive purposes and intentions behind their problematic behaviors.

‘Leading’ involves assisting the individual to find a more appropriate choice for successfully achieving those positive intentions. Of course, the fact that the “normal consciousness” of a person recognizes other choices does not mean that the “part” that is initiating the behavior understands or accepts those choices. A behavior or symptom is only completely ‘reframed’ when a) the part of the person that is generating the problematic response is identified, b) the positive intention behind the response understood and acknowledged, and c) other effective choices for achieving the positive intention have been internalized by that part.

It is important to keep in mind that there is a subtle but significant difference between ‘alternatives’ and ‘choices’. ‘Alternatives’ are external to a person. ‘Choices’ are alternatives that have become a part of the person’s map. An individual could be given many options or alternatives but really have no choice. Choice involves having the capability and the contextual cues to be able to internally select the most appropriate option. This is why it is important to verify that the “part responsible” both understands and approves any options proposed by the facilitator or the individual’s “normal consciousness.”

In NLP, it is also considered important that the person possess more than one other alternative besides the symptom or problematic response. There is a saying in NLP that “One choice is no choice at all. Two choices is a dilemma. It is not until a person has three possibilities that he or she is really able to legitimately choose.”

The six-step reframing process has been used successfully with many types of symptoms, including physical symptoms. Robert Dilts (1995), for instance, cites the following personal example:

*“Many years ago, when I was first getting involved in NLP, I developed what is called a “pilonidal cyst” at the base of my spine. The cyst was both painful and embarrassing (given its location). I went to several doctors who all told me that the cyst was probably congenital and that the only way to treat it effectively was to have it surgically removed—a process that would require several weeks for recovery.”*

*"Before considering surgery, I decided to try 'communicating' with the 'part' of myself responsible for the cyst, as if it were any other behavioral symptom. As soon as I began, I realized that my map of the cyst, and the part of my body in which it was located, was very narrow and limited. I had simply perceived it as a 'pain in the butt'. To establish "associative communication" with it, I focused my attention on the cyst, letting go of any negative judgments. I asked what it was trying to communicate to me and what its positive purpose was. After repeating the question several times and waiting patiently for some kind of response, I heard the words, "Get off your butt." After considering the somewhat startling reply for a while, I realized that I did not have any consistent routines established for my physical health. As a result of this communication I created three alternatives in terms of exercise, diet and personal hygiene. Within three weeks of the time I began implementing these choices the cyst had completely disappeared and has not returned in over twenty years."*

The following are the specific steps of Six-Step Reframing.

## Steps of Six-Step ‘Reframing’

1. Enter a quiet contemplative state and put your full attention on the problematic behavior or symptom.  
*e.g. "Take a moment and relax. Be completely within yourself and put your complete attention on the symptom or behavior that you want to change."*

2. Establish communication with the ‘part’ of yourself that is responsible for the behavior.

*"Go inside of yourself and ask the part of you that creates this behavior, 'Please give me a signal if you are willing to communicate with me.' Pay attention to any internal words, images or feelings that might be a signal from that part of yourself."*

2.1. If you do not get a clear signal, ask the part to exaggerate the signal. You may also use the symptom itself by asking “Please intensify the symptom if your answer is ‘yes’.”

2.2. If the part is not willing to communicate, ask “What is your positive purpose in not wanting to communicate with me?”  
[If you have continued difficulty establishing communication with the part, you may want to try a different change process.]

3. Separate the positive intention of the part from the problematic behavior.

*"Go inside and thank the part for communicating with you and ask, 'What are you trying to do positively for me or communicate to me with this behavior?'"*

3.1. If the intention of the part seems negative, keep asking “And what will that do positively for me? What is your positive purpose?”

4. Find three other choices that satisfy the positive intention of the part but do not have the negative consequences of the symptom or problematic behavior.

*"Go to the 'creative part' of yourself and ask it to come up with at least three other ways to satisfy the positive intention of the problematic behavior."*

5. Have the part that creates the symptom or problematic behavior agree to implement the new choice.

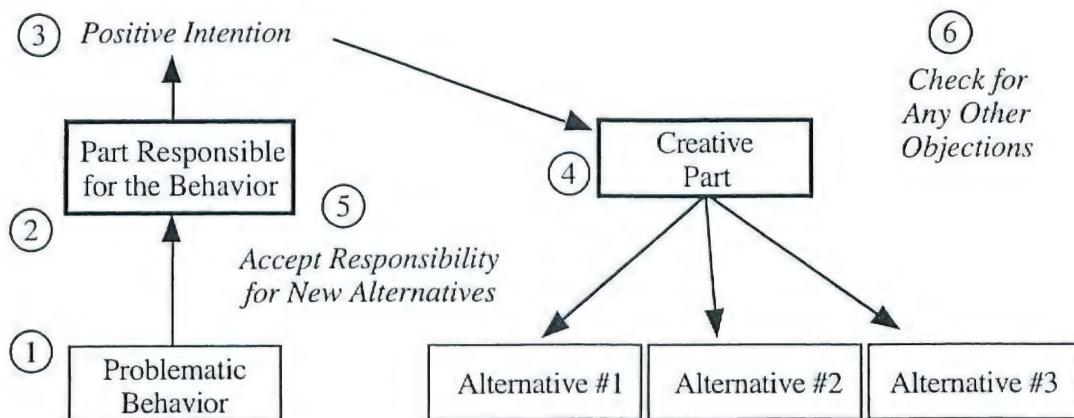
*"Go inside and ask the part responsible for the problematic behavior, 'Signal me if you accept the alternative choices."*

5.1. If any choices are not acceptable, or there is no signal, go to step 4 and modify or add choices.

6. Ecology check. Find out if any other parts object to the new choices.

*"Go inside and ask, 'Do any other parts object to these new choices?'"*

6.1. If yes, identify the part and go to step 2, repeating the cycle with that part.



**Diagram of the Six Steps of Six-Step Reframing**

It can be useful to apply spatial sorting to the process of Six-Step Reframing. Specific locations for each step of Six-Step Reframing can be laid out in much the same order as the diagram above. As you go through each step of the process, you can stand in the location associated with that step. (Note that step 2—establishing communication with the “part responsible” for the problem behavior—and step 5—having the “part responsible” for the problem behavior accept the new alternatives—would take place in the same location.) This can help to keep the information and behavioral cues associated with each part of the process “cleanly” sorted.

## **Checklist for 6-Step Reframing**

- \_\_\_ Established rapport before starting.
- \_\_\_ Established a meta position before starting.

### **Step 1**

- \_\_\_ Gave sensory based description of observable physiology.

### **Step 2**

- \_\_\_ Calibration – Identified observable physical cue(s) for the “part’s” response.
- \_\_\_ Identified in which representational system(s) the communication took place for the explorer.

### **Step 3**

- \_\_\_ Identified an intention that is ‘positive’.
- \_\_\_ Identified in which representational system the positive intention was communicated.

### **Step 4**

- \_\_\_ Calibration – Identified observable physical cue(s) associated with the explorer’s “creative part.”
- \_\_\_ Identified which representational system(s) were associated with the explorer’s “creative part”.

### **Step 5**

- \_\_\_ Checked for congruence. Identified relevant observable cues (as defined in step 2).

### **Step 6**

- \_\_\_ Checked for congruence. Identified relevant observable cues.

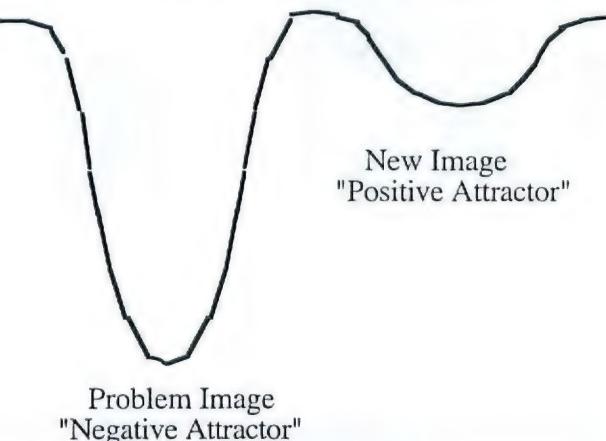
### **Overall**

- \_\_\_ Paced the physiological and vocal shifts associated with the different parts.
- \_\_\_ Was able to identify that the responses were congruent to the parts being accessed.

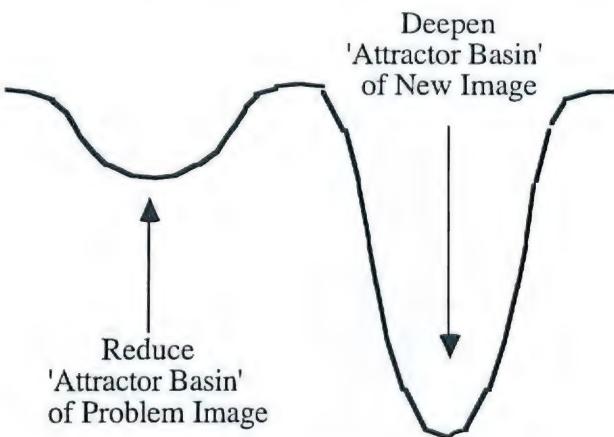
## Self Organization and the ‘Swish’ Pattern

The ‘swish’ pattern (Bandler, 1985) is typically used to help people deal with problematic responses that are associated with a specific mental image. Compulsive or obsessive responses, such as the uncontrollable desire for cigarettes, sweets or food, for example, are often associated with a particular image of the item toward which the compulsion or obsession is directed. These are the types of images that always seem to keep coming back no matter how hard one attempts to put them out of one’s mind.

The first step is to identify the compulsive desire or idea and the associated image. The next step is to identify or create an image, to take the place of the problematic image, that satisfies any positive purposes of the problematic image but leads to a different affect. Of course, even though this new image will be desirable, it will still not yet be as strong an ‘attractor’ as the problem image (i.e., the ‘basin’ of the problem image will be ‘deeper’ than the new image).



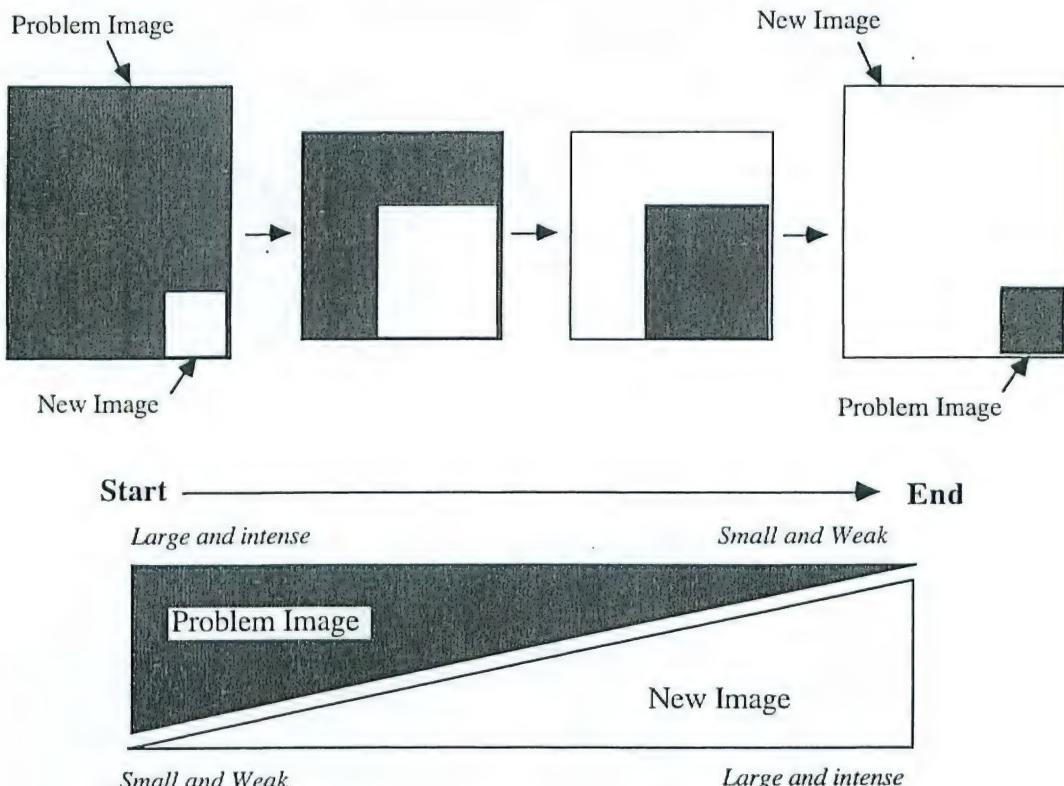
The third step is to explore which submodality qualities of the images influence their degree of intensity. This is done by altering such qualities as the color, brightness, focus, movement, depth, shape, etc., of the images and noticing how it influences your feelings in relation to them. The key is to find the submodality qualities that diminish the intensity of response associated with the problematic image and augment the intensity of the response associated with the new image. (That is, which submodalities make the ‘basin’ of the problem image ‘shallower’ and the ‘basin’ of the positive image ‘deeper’.)



The core of the swish pattern, however, (and the reason for the name ‘swish’) lies in the way the new image is substituted for the problematic image. The problematic image needs to be destabilized and replaced with the new image such that you have the sense of going ‘away from’ the problem image and ‘toward’ the new ‘attractor’. This is done by a unique form of ‘pacing and leading’.

In a typical swish process, the problem image is made large and close, so that its associated affect is strong and immediate. Superimposed on the problem image, say in the lower right hand corner, is the

new image; small and distant. The swish process proceeds by slowly beginning to make the large and close negative image become slightly smaller and a bit more distant. At the same time, the new image is made slightly larger and closer. As the problem image becomes progressively smaller and more distant you begin to further diminish its intensity by shifting the submodality qualities that you explored in the previous step. As the new image becomes closer and larger, you begin to apply the submodality qualities that you found to enhance and strengthen it. You continue the process until the new image has become large and close and the problem image has become small, dim and distant.

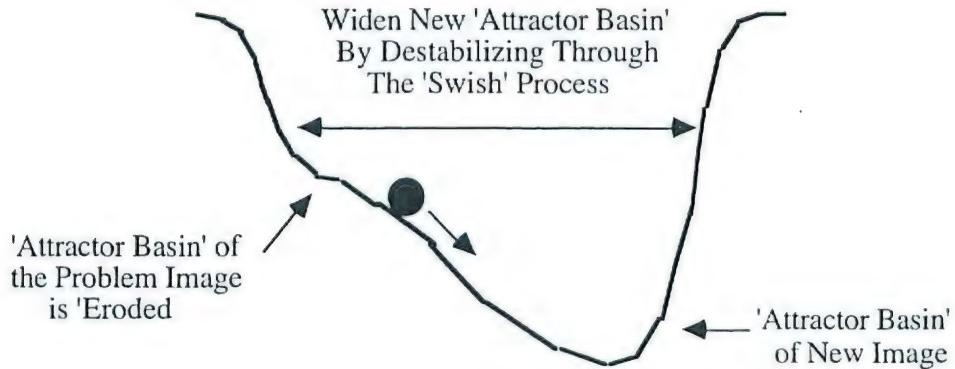


### Progression of Exchange of Images in the 'Swish' Pattern

When you have been able to make this exchange, you then return the two images again to their starting state—in which the problem image was large and close and the new image was small and distant. It is important to note that you do not do this by reversing the exchange you just made. Once the first exchange has been made you simply stop, clear your mind, and return to the starting state of the two images. This is done so that the transfer is always made in the direction of the new image.

When you have returned again to the starting state, you repeat the swish process again; making the problem image progressively smaller, more distant and less intense, while you simultaneously bring the new image closer, making it larger and more intense. This time however, you imagine the exchange happening a little faster. When you are done you again return to the starting state and repeat the swish process, a bit faster. You continue to iterate this cycle of exchange in your mind, faster and faster until you reach a rate of exchange that is faster than you can consciously keep track of.

This process of rapid iteration serves to not only 'deepen' but also to 'widen' the 'attractor basin' of the new image, such that it encompasses or 'erodes' the basin of the problem image. In the metaphor of a 'landscape', the ball will roll on past the small indentation of the problem image into the deeper basin of the new image. In fact, the check for how well a particular 'swish' process has worked is to try to bring the previously problematic image back and hold it. If the process was successful, the problem image should immediately give way to the new image.



**Through the Iteration of the Exchange of Images  
The Attractor Basin of the New Image is Deepened and Widened to Incorporate the Basin of the Previously Problematic Image**

Neurological studies show that the impact of an experience has more to do with its rate of change within a given period of time than its content. In fact, one of the ideas from which the ‘swish’ process sprang was what I call the ‘pico principle’. A ‘pico second’ is theoretically the smallest imaginable unit of time. The application of the pico principle in the swish process involves making the greatest “amount of increase or diminution in the quantity of excitation” in the shortest possible period of time.

Thus, in the swish process, two fundamental dynamics are operating simultaneously. First, both “increase” and “diminution” are happening at the same time in order to maximally direct the ‘pleasure principle’. Secondly, by working to produce the change in the briefest amount of time, the greatest possible impact is being achieved.

### **Steps of the “Swish” Pattern**

The following is a brief review of the ‘swish’ process.

1. Identify the compulsive desire or idea and the associated image.
2. Identify or create an image, to take the place of the problematic image, that satisfies any positive purposes of the problematic image but leads to a different affect.
3. Explore which submodality qualities of the images influence their degree of intensity by altering such qualities as the color, brightness, focus, movement, depth, shape, etc., of the images and noticing how it influences your feelings in relation to them. Find the submodality qualities that diminish the intensity of response associated with the problematic image and augment the intensity of the response associated with the new image.
4. Begin with the limiting image very large and intense and the desired image small and weak. Slowly make the problem image smaller and weaker. *At the same time* make the new image larger and more intense. Repeat this at least five times, making the process faster and faster each time.
5. Test by trying to make the limiting image and hold it.

## Change Personal History

The roots of most of our present behaviors and responses are in our past. Even though a symptom or problem may express itself in the present, it is very likely that its causes are in the past. Change Personal History is an NLP technique that allows people find and resolve past events which are still causing problems in the present.

Almost every form of psychotherapy or healing acknowledges the importance of finding the historical causes of a symptom and addressing them in some way. According to Sigmund Freud, for instance, resolving a psychological or psychosomatic symptom involved discovering “the impressions and experiences from which it sprang, and the purpose which it serves.”

Many seemingly irrational responses and resistances make more sense when thought of in relation to the past rather than the present. Freud believed that resistances and stuck states occurred when something in the present triggered a person to “regress” back to earlier life experiences and unconsciously relive them or parts of them. Similarly, NLP contends that stimuli and circumstances related to present situations can cause people to reassociate back into past experiences and respond or act in ways that are not helpful or appropriate in the present situation.

Freud applied the process of “free association” to help his patients find such key events, relive them, and then gain insight to the past experience in a way that would hopefully alter the meaning and significance of the event in the person’s life. In NLP, identifying past experiences associated with present responses and reactions is accomplished through a process called a “transderivational search.” The individual is asked to focus his or her attention on the particular emotional affect that is creating the difficulty and allow that feeling (even though it may be uncomfortable) to guide him or her back to events in the past that share the same emotional reaction. The implication is that one is searching across the experiences from which the current symptom or ‘surface structure’ has been derived.

This ‘transderivational search’ is facilitated by the use of either a mental or physical ‘time line’ and/or an ‘anchor’. The use of a time line involves having the person either mentally or physically move along his or her time line in the direction of the past. For instance, a ‘time line’ can be physically laid out on the floor. The individual begins by standing in a location representing the present, facing the future. The person is then instructed to walk backwards ‘into the past’, while focusing his or her attention on the problematic feeling or response, and notice any memories or associations that arise.

‘Anchoring’ utilizes the process of association to create a trigger or ‘anchor’ for the problematic feeling or response. The anchor may then be used to help the individual keep his or her attention focused. A common application of anchoring would be for the facilitator to touch the individual on the shoulder, arm or knee when the individual is experiencing the problem state. Through associative conditioning this touch becomes a trigger or ‘anchor’ for the experience of the state. By holding the ‘anchor’ the facilitator is able to help the individual sustain a more concentrated focus on the feelings and thoughts associated with the state during the search process.

Both of these methods can be used to help direct a person more quickly to find the ‘originating circumstances’ of the problem state. They can be especially helpful when the individual has a resistance to bringing a particular memory into consciousness because it contains traumatic or fearful contents.

As an example, consider the case of a man who was a professional diver, but who would become, in his opinion, irrationally nervous and afraid if he was diving in muddy or ‘murky’ water. He was asked to put his awareness on the feeling and allow himself to go back along his time line. An anchor was established for his fearful state to assist him in staying focused. After searching for a while, the man suddenly had a recollection from his childhood. He and a friend were swimming in a lake near his childhood home. It was just after a storm and the water was quite murky. They saw some people in a nearby boat dragging the bottom of the lake for the body of a person who had drowned during the storm. The diver, who was a boy at that time, stepped on something that felt funny and when he reached down through the murky water to discover what it was, realized that he had found the body. It was a shocking and frightening experience to him as a boy, but one that he had long since forgotten about (or potentially “repressed”). By recollecting and describing the event and his feelings he was able to complete the emotional cycle that had been stopped because of his state of shock, and to verbally release or “abreact” the affect and see it ‘through time’ as ‘part of the past’. This brought about an immediate relief from his symptoms.

There are times, of course, when the insight produced by finding the originating circumstances is not enough to relieve the symptoms. For example, a man in an NLP seminar had great resistance to

being specific in any way regarding the setting of future goals and outcomes. When asked to be specific he would enter into a state of confusion or “fog.” (This made him a difficult person to work with because he was never able to say what he wanted.) Rather than have him try to clear the “fog,” however, he was asked to make a “transderivational search” on the fog by concentrating his attention on the fog and letting it take him back into his past. A touch on his knee was used as an ‘anchor’ to help him stay focused. After a few moments, the man began to perceptibly convulse as he “regressed” into a traumatic past experience. With great emotion he recounted an event from his childhood in which he had been practicing baseball with some of his friends. He would toss up the ball and hit it with the bat to his friends out in the field. At one point he had set the goal for himself to hit the ball as hard as he could; so hard that it would go over the fence surrounding the field. He put every ounce of concentration and strength into achieving that goal. He was so focused, however, that he did not notice the three year old brother of one of his friends running up behind him. He swung the bat as hard as he could, missed the ball and struck the little boy on the head, killing him. Having recovered this memory it was not so difficult to understand why he had been having such a difficult time setting specific goals.

However, the awareness of the incident was not enough to bring about the ‘associative correction’ needed to deal with the man’s emotions. Sometimes, the map that has been formed in the original circumstance is the only map that the individual has regarding situations of that sort. It is necessary to help the individual update that map to include new alternatives. As Freud maintained, to completely address a resistance or symptom involved helping the individual to bring something new into the past experience:

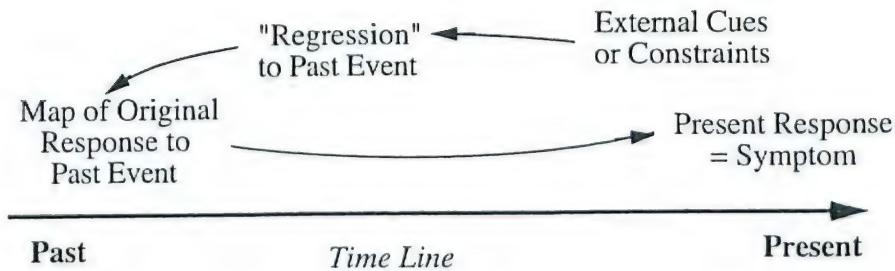
*“In order to dissolve the symptoms it is necessary to go back to the point at which they originated, to review the conflict from which they proceeded, and with the help of propelling forces which at that time were not available to guide it towards a new solution.”*

In the instance cited above, it was important for the man to access some of his adult capabilities and understandings in order to update the map that he had made that ‘setting specific goals was dangerous’. This was done by having him fully orient himself to his adult body, perceptions and learnings. This state was ‘anchored’ by a touch on the shoulder. He was then asked to re-experience the traumatic situation again but to bring in his adult resources in two ways – ‘through time’ and ‘in time’. To bring them in ‘through time’, he was to stay in the ‘observer’ position as if he were an adult; returning as a kind of guide, big brother or ‘guardian angel’ to his younger self. From this perspective he could speak to and comfort his younger self, offering suggestions and advice.

Bringing his adult resources ‘in time’ involved ‘regressing’ back into the event again; but this time using the anchor for his adult resources to bring understandings and capabilities “which at that time were not available” into the model of the world and experience of his younger self. The anchor was important to help counterbalance the natural tendency to return to the strong emotional reaction which initially created the ‘fixation’. He was asked to relive different parts of the event ‘with these new resources’ in order to discover how he would have reacted differently. For instance, to consider how he could have committed to his goal but not had his attention so consumed by it that he accidentally hurt someone. How could he have maintained peripheral vision, for example? He also re-experienced his reaction to the accident of hitting the little boy, but did so with his adult understandings and resources. He realized that what he needed to learn from the event wasn’t that he ‘should not set goals’ but rather that he should widen his awareness and map of the system in which he was attempting to achieve the goal in order to insure that the results of his efforts were ecological for the whole system. These new experiences brought a great sense of peace and healing with respect to the incident and his resistance to setting goals dissipated.

Obviously, the man’s memory of the original event and his emotional reaction to it was not ‘erased’. It was still there, but he also had an alternative map related to the same experiences that offered different responses and “new solutions.” The goal of this process of healing is not to get rid of or eradicate important life experiences, but rather to ‘pace and lead’ them to other choices and alternatives.

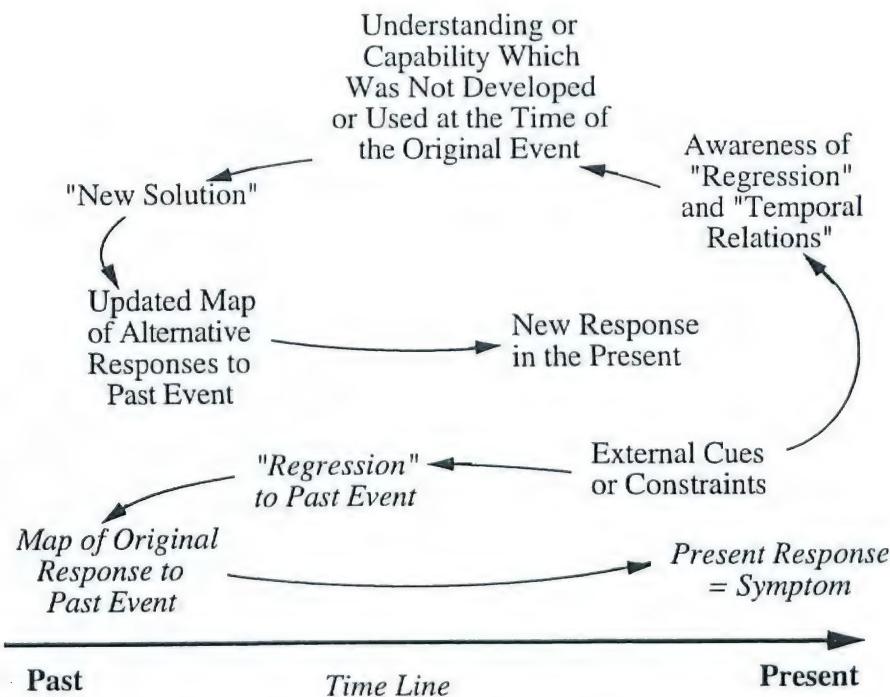
In summary, certain external cues or constraints in the present can cause a person to ‘regress’ to a past situation, and respond from the map of the world formed at that earlier time. The map and the response, which were the best choice available to the individual at that time – and may have even been successful for those circumstances – are often outdated and mismatched to the present situation.



### Regression to Past Experiences and 'Fixated' Map Leads to Symptoms and Resistances in the Present

By becoming aware of the regression, and the event to which one is regressing, one can shift perspectives and bring one's experiences into "temporal relationship" with one another. This awareness allows a person to access understandings, resources and other "propelling forces which at that time were not available" and reach a "new solution." The previous map of the situation may be updated to add the new choices and alternatives.

Because the new alternatives and resources are associated with the cues and experiences which make up the 'deep structure' behind the problem state, they will automatically be accessed and available without any effort from the individual in the future.



### Diagram of Adding New Resources to Past Events Through the Change Personal History Process

In the parlance of computer programming there is a term known as a "change history." A "change history" is a record of the corrections made to a program or user's manual. It basically lists the original erroneous code or description and the corrected text opposite it. The process discussed above is called "Change Personal History" in NLP because it accomplishes something similar with respect to a person's 'neuro-linguistic' programming. It provides a way to both review the original "program" and also to see the elements of the program with the 'bugs' corrected.

The following is a summary of the basic steps of the NLP Change Personal History Process.

## Steps to the NLP Change Personal History Process

1. Identify the unwanted or unpleasant feeling or resistance.

*"What is the feeling or response you want to change? Experience it now and notice where and how you sense it in your body"*

- 1.1. Create an 'anchor' by touching your arm, wrist or knee while you are experiencing the problem state.
2. Holding the anchor and go back in time, on your time line, finding other similar times when you feel the same way (transderivational search). Make your search from an 'in time' perspective, such that you are seeing what you saw, hearing what you heard and feeling what you felt at the time.
  - 2.1. When you notice exaggerations of the feelings or physiology associated with the problem state, note what was going on and how old you feel during the situation associated with that experience.
  - 2.2. Search until you find the earliest or most intense memory associated with that problematic feeling or response.

*"Put your attention on the feeling and allow it to take you back into your history. Experience yourself becoming younger and younger. Find times in your past when you have had a similar feeling. Go all the way back to your earliest memory of having that feeling."*

3. When you have found the earliest memory, re-orient yourself back to the present and view your timeline from a 'through time' perspective, as though you were an observer of the events you just identified (not a participant).
  - 3.1. Recognize that you did the best you could in that situation with the resources and map of the world that you had available at that time.
  - 3.2. Experience clearly that you are more mature now and have many understandings and resources that you did not have at the time the problem state first began.

*"Now completely leave that feeling and those events. Come fully into the here and now, so that you can look back on those times with more mature eyes. You can see what happened then as if you were watching a movie of it. You can notice that you did the best you could in that situation with the resources you had then. At the same time, you can realize that you are more mature now and have many understandings and resources that you did not have then."*

4. Identify what resources you would have needed in those past situations in order to have been able to reach a more adequate solution.
  - 4.1. Elicit an associated reference experience for the needed resources. Create a new anchor for these resources by touching yourself in a different location than you did to anchor the problem state.

*"Feel yourself fully associated in your present body, perceptions and understandings; with full access to your current resources and potential. As you look back at your younger self in that situation in the past, what resources or understandings do you have available now that you did not have then that you could bring back to that younger you? Experience those resources now as fully present in your body."*

5. 'Change history' by using the resource anchor, go through each of the earlier identified past experiences (starting with the earliest and coming forward in time) adding in the new resources so that each experience is now satisfactory.

- 5.1. If you have difficulty changing any of the past experiences or are not satisfied with the result, then return to step 4 and elicit and anchor more intense or appropriate resources.

*"Holding these resources fully present in your body, go back to the younger you offering any comfort or advice that (he/she) may have needed. Then, bring these new resources into your younger self. Step back into the shoes of that younger you bringing these new resources and understandings. Notice how your perceptions and understanding of the situation changes, bringing you new and important learnings about that situation and yourself. Then, come all the way back up in time to the present, changing and updating any experiences associated with this past event."*

6. Once you have changed all of the past experiences, remember them with no anchors and discover if those subjective memories have been changed. If not, repeat the process with new or more appropriate resources.

*"As you stand once again in the present, in your present and more mature body, remember those past events once again. Notice how your experience of them has changed. They are learning experiences that can remind you of many resources and choices."*

7. When the past experiences have been changed, put your attention on the external cues and situations which have previously brought up the problem state or imagine the next time a similar situation is likely to occur. If the changes have generalized, the feelings and physiology associated with the resources should appear. If they do not, find what further resources are needed and repeat the process.

*"Think about the situations that have brought up this problem state. Imagine the next time you will be in such a situation. Put yourself fully into those future circumstances and notice how your feelings and reactions have changed. Now many new resources and alternatives are available so that you can respond in the way that is most appropriate and ecological for you."*

Historical Notes: Change Personal History was formulated by Grinder and Bandler as an integration of age regression techniques in hypnosis, the Gestalt therapy concept of 'finishing unfinished business', Freud's concept of free association, and the computer programming concept of a 'change history'.

## Resource ‘Supercharger’ Exercise

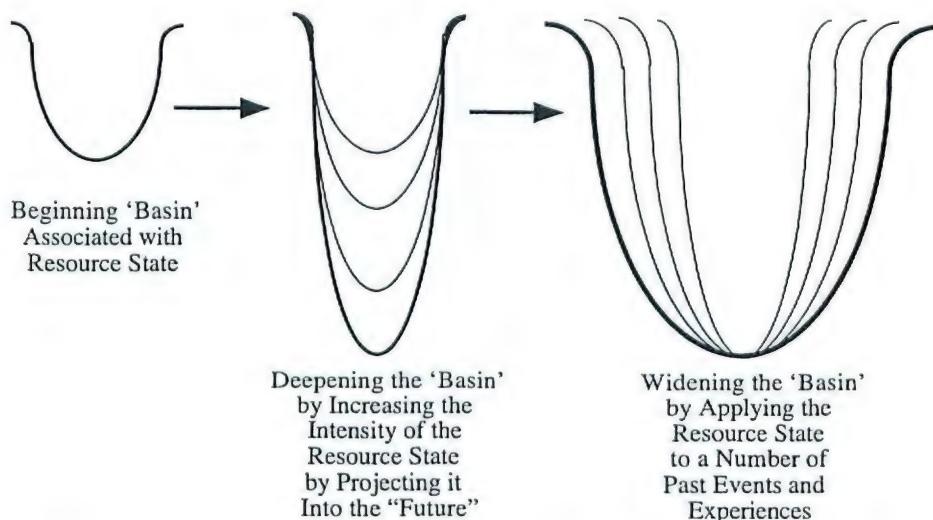
The *Resource Supercharger* exercise was developed by Robert Dilts in 1994 as an application of the principles of ‘self-organization’ theory to NLP. The Resource Supercharger exercise is a “generative” application of NLP which applies the processes of ‘iteration’ and ‘recursion’ in order to enhance and deepen personal resources and resource states. The Resource Supercharger also makes use of our perception of the future, and our ability to act “as if,” in order to strengthen and enrich our experience of important resources and abilities.

According to self-organization theory, the deeper structure potential or “landscape” of the “attractors” around which self-organizing systems form, is revealed or unveiled through iterative processes (like those at the basis of a mathematical fractal). An iterative process is essentially one in which the output of a particular cycle or loop is returned as input, or the starting state, for the next cycle. Thus, the loop continues to operate on its own output, continually increasing or enhancing it. The Resource Supercharger exercise applies this principle to the enrichment and intensification of a resourceful inner state.

In the Resource Supercharger process, a person is asked to project his or her current experience of a resourceful state into the future, and act ‘as if’ it is growing stronger and more powerful. This imaginary projection produces changes in the person’s inner experience and the external physiological manifestation of the state. Since these responses are created in the person’s body in the ‘present’, he or she is instructed to recognize that these are truly the “present state” of the resource rather than its future manifestation. These reactions and responses are then taken as the current expression of the resource and projected again into the future, ‘as if’ they were growing stronger and more powerful. Again, it is pointed out that any increase or enhancement of the person’s experience or expression produced by this process of imagination are actually in the “present” and should be taken as the “starting state.” This loop is repeated several times, until the person has reached a “saturation point”—that is, a point at which it is not possible to imagine any more increase in the intensity of the state for the time being.

As opposed to simple repetition, in which the ongoing experience of the resource state would be repeated over and over again without change, the “recursive” process employed by the Resource Supercharger creates an almost exponential increase in the intensity of the state. The result of this process is a type of “ratcheting” effect, in which each new iteration “leap frogs” on top of the gains achieved by the previous cycle. In the language of self-organization theory, this process serves to “deepen” the neurological and physiological “basin” associated with the resource state. The looping to the future stops when the state has increased to a point of “saturation” such that it would not be useful to continue.

The next step is to bring the “supercharged” resource to other parts of our life’s “landscape”; in particular, past situations in which it would have been valuable or useful to have that resource. This is not only a way to apply the resource, but to enhance it and “widen the basin.”



### Deepening and Widening the Experience of a Resource State Through the Resource Supercharger Exercise

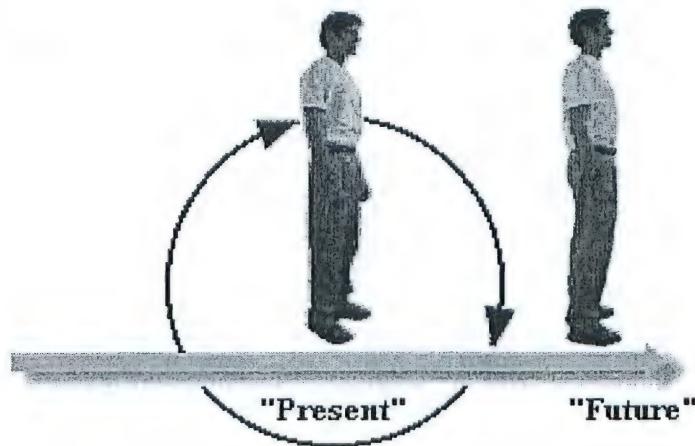
Deepening and widening the ‘experience basin’ associated with a particular resource or resource state often has the effect of shifting a person’s subjective sense of the resource to the ‘identity’ level. I feels to that person as if it has always been a part of him or her.

A final step in the Resource Supercharger Exercise is to bring the ‘supercharged’ resource into a position on one’s time line representing “pre-conception” — a time before one was conceived. (The experience of the point of pre-conception obviously exists in our imagination rather than our conscious memory.) Perceiving the resource as being part of us before our conception and birth, and bringing it up through all of the experiences on our time line, helps to add a “spiritual” dimension to the resource. This serves to widen and deepen our experience of the resource even further, making it feel as if it has always been a key part of the legacy and destiny of our existence on this planet.

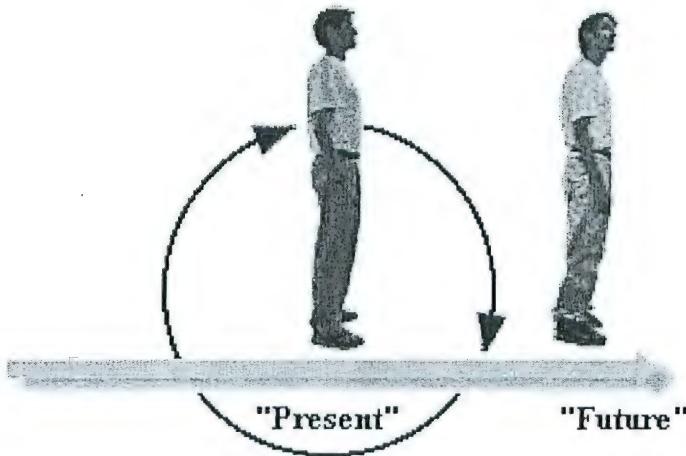
#### *Steps of the Resource Supercharger Exercise*

In summary, the steps of the Resource Supercharger exercise are:

1. Establish and associate into a location representing first position present. Identify a resource that you would like to strengthen or enrich.
2. Fully experience the resource in a location representing 1st position (self), present.
3. Step forward, as if you are walking into your future. Imagine that you have had the resource for a long time and that it has grown and enriched. Notice how your sense of the resource shifts and enhances.
4. Since you can actually feel and represent these changes in your body (which is in fact in the ‘present’ even though you are acting ‘as if’ you are in the ‘future’) return to the 1st position, present location bringing the enhanced sense of the resource with you. Since you can experience it in your body, it should really be your ‘present state’.
5. Starting with this enhanced sense of the resource as the *present*, repeat step 3 and step forward again into the future, imagining how the resource would become further enhanced and enriched. Continue to repeat steps 3 and 4 until you have reached a point of ‘saturation’ and the resource is a whole body experience.



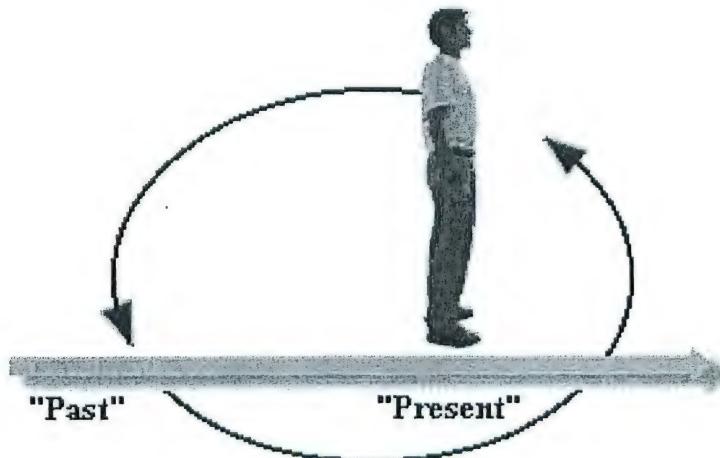
*Loop 1: A Resource State Is Enhanced by Projecting It into the Future. The Results Are then Brought Back to the Present Position on the Time Line.*



*Loop 2: The Enhanced Resource State Now Becomes the New Starting State, and the Process Is Repeated.*

**A Resource May be “Supercharged” through the Cycle of ‘Recursively’ Projecting It to the Future, Enhancing It, and Bringing Those Enhancements Back into the Present, Until the State has Reached a Point of ‘Saturation’.**

6. Take the ‘supercharged’ resource and step backwards into a location representing an experience or time frame in your past where it would have been useful to have some of this resource. Notice how the past experience would have been transformed if you had been able to mobilize this resource to this degree at that time.
7. Step forward to the 1st position, present location imagining how other events in your life would have been enriched if you had been able to mobilize this resource earlier. Notice how this strengthens or enriches your present perception of the resource.
8. Continue to ‘widen the basin’ of the resource by repeating steps 6 and 7 with other events or time periods in your past.



**A Resource May Be Further Enriched through the Cycle of Repetitively Bringing It Back into Past Situations in which It Would Have Been Valuable or Useful to Have Had that Resource, and then Noticing How that Strengthens Your Resourcefulness in the Present.**

9. Identify a location on your time line representing ‘before conception’. Associate into this location and see the events of your life in front of you. See your life along a ‘landscape’ of time instead of a time ‘line’. Notice how this puts the events of your life into a new perspective.
10. Bring the ‘supercharged’ resource into this location and walk forward along your time line bringing it into all of your life experiences.

## **Dealing With Separation, Sadness and Grief**

Grief is a type of emotional pain typically brought about by the death of a loved one, although it can also be precipitated by some other form of separation or loss. While the experience of grief is a natural part of the healing process, it sometimes becomes intensified or prolonged past the point of usefulness. Furthermore, the distress of grief is sometimes compounded by the experience of guilt, remorse, anger or some other negative emotion. From the NLP perspective, the degree of distress one experiences as result of such a loss is heavily influenced by one's internal representations – especially those related to the individual from whom one has been separated.

NLP has developed several effective approaches for ecologically addressing grief (Andreas 1989). The following process applies a number of NLP principles and “tools” to help transform the sense of loss and grief into appreciation and gratitude. It was developed by Robert Dilts as a result of reflecting on the process he went through at the time his mother was dying in December, 1996.

### **Dealing With Separation, Sadness and Grief: Creating a New Mentor**

1. Identify and associate into the experience of separation, sadness or grief.
2. Step away from that experience and go to a centered and resourceful state in which you are aligned and wise.
3. Choose two mentors to be your guardian angels. Select mentors you know will always be a part of you.
4. With your hands, sculpt a life size “hologram” of the person you are missing. Create the person as you want him or her to be.

If there are any negative or painful memories, put them on balloons and let them go. (Images can go on the outside of the balloon, voices and sounds can go inside the balloon.)

5. Breathe life into the hologram and give your new mentor the voice you would like him or her to have.
6. Ask the new mentor, “What is the gift you have been wanting to give me all this time?” Go to “second position” with your new mentor, by putting yourself into his or her shoes, and answer the questions. Create a symbol for the gift (e.g., a golden heart).
7. Return to “first position,” by associating back into yourself, and answer the question, “What is my gift for you?” Create a symbol of your gift to the other person (e.g., a fountain pen that writes in many colors).
8. Exchange gifts with your new mentor and connect your hearts with an eternal silver thread of light.
9. Honor the gift you have received by finding someone else in your life to share it with. Future pace how you will share this gift and keep it alive. Use your new mentor as a resource to help you share this gift.
10. Imagine your new mentor being welcomed by your other mentors.
11. Bring your gift, your new mentor and your other “guardian angels” into the situation in which you had previously experienced separation, sadness or grief, and notice how your experience is transformed.

While this procedure may be used to help with the experience of loss or grief brought about by physical death, people have also reported relief from the types of negative emotions triggered by other forms of loss, such as divorce or long term geographical separation.

## Walt Disney

Walt Disney's ability to connect his innovative creativity with successful business strategy and popular appeal allowed him to establish an empire in the field of entertainment that has survived decades after his death. Disney embodies the ability to make a successful company based on creativity. He represents the process of turning fantasies into concrete and tangible expressions. In a way, Disney's chosen medium of expression, the animated film, characterizes the fundamental process of all creative genius: The ability to take something that exists in the imagination only and forge it into a physical existence that directly influences the experience of others in a positive way.

The simple yet worldwide appeal of Disney's characters, animated films, live action features and amusement parks demonstrate a unique ability to grasp, synthesize and simplify very basic yet quite sophisticated principles. Disney was also responsible for a number of important technical and organizational innovations in the fields of animation and film-making in general.

The tools and distinctions of NLP make it possible to create explicit maps of the successful thinking strategies of people with special talents like Walt Disney. NLP explores the way people sequence and use fundamental mental abilities such as sight, hearing and feeling in order to organize and perform in the world around them. One of the major elements of Disney's unique genius was his ability to explore something from a number of different **perceptual positions**. An important insight into this key part of Disney's strategy comes from the comment made by one of his animators that:

*“...there were actually three different Walts: the **dreamer**, the **realist**, and the **spoiler**. You never knew which one was coming into your meeting.”*

This is not only an insight into Disney but also into the process of creativity. Creativity as a total process involves the coordination of these three subprocesses: dreamer, realist and critic. A dreamer without a realist cannot turn ideas into tangible expressions. A critic and a dreamer without a realist just become stuck in a perpetual conflict. A dreamer and a realist might create things, but they might not be very good ideas without a critic. The critic helps to evaluate and refine the products of creativity. There is a humorous example of a boss who prided himself on his innovative thinking abilities but lacked some of the Realist and Critic perspective. The people who worked in the company used to say, “He has an idea a minute...and some of them are good.”

The point is that creativity itself involves the synthesis of different processes or phases. The Dreamer is necessary for creativity to form new ideas and goals. The realist is necessary for creativity as a means to transform ideas into concrete expressions. The critic is necessary for creativity as a filter and as a stimulus for refinement.

Certainly, each one of these phases represents a whole thinking strategy all on its own – strategies that more often tend to conflict with each other rather than support each other. Of course, the specifics of how Disney used and coordinated his imagination (“the dreamer”), methodically translated those fantasies into a tangible form (“the realist”) and applied his critical judgment (“the spoiler”) are something that we need to explore in more depth.

In this unit we will apply the NLP distinctions and tools that we have developed so far to identify and ‘install’ a creativity strategy based on Disney’s creative process.

### *Overview of Disney's Strategy*

Perhaps the most comprehensive description of how Disney’s ‘Dreamer’, ‘Realist’ and ‘Critic’ operated in conjunction with each other comes from Disney’s statement that:

*“The story man must see clearly in his own mind how every piece of business in a story will be put. He should feel every expression, every reaction. He should get far enough away from his story to take a second look at it...to see whether there is any dead phase...to see whether the personalities are going to be interesting and appealing to the audience. He should also try to see that the things that his characters are doing are of an interesting nature.”*

The first part of the description focuses on the interaction between the dreamer and the realist. It is clear that the “second look” is the domain of the ‘spoiler’.

Certainly, the statement defines three distinct perspectives.

- 1) The ‘Dreamer’ – Vision, whole movie:  
*“The story man must see clearly in his own mind how every piece of business in a story will be put.”*
- 2) The ‘Realist’ – feeling and action, first position, associated, moving:  
*“He should feel every expression, every reaction.”*
- 3) The ‘Spoiler’ – second position, distant:  
*“He should get far enough away from his story to take a second look at it.”*
  - a) Whole movie  
*“to see whether there is any dead phase.”*
  - b) Individual character, disassociated, still:  
*“to see whether the personalities are going to be interesting and appealing to the audience.”*
  - c) Individual character, disassociated, moving:  
*“He should also try to see the things that his characters are doing are of an interesting nature.”*

Disney’s “Second look” provides what is called a ‘*double description*’ of the event. This ‘double description’ gives us important information that may be left out of any one perspective. Just as the differences in point of view between our two eyes gives us a double description of the world around us that allows us to perceive depth, Disney’s double description of his own creations served to give them an added element of depth.

Of particular interest in NLP is that the “second look” involves a specific reference to being ‘far enough away’. If it was too close it could be overly influenced by the other perceptual positions. Similarly, it could also overly influence them. If the spoiler is too close to the dreamer, it may inhibit those dreams.

Disney’s primary strategy, and his major strength, as a realist was the ability to chunk and sequence his dreams into pieces of a manageable size. In fact, Disney was the innovator of the process of “**story-boarding**. ” A story-board is like a visual table of contents – it is a set of still drawings that represent the sequence of critical events to take place in the storyline of a film. Story-boarding is an extension of the process of animation to a larger scale.

Animation takes place through a process that involves starting with the drawing of still pictures representing the critical events of a particular movement. These drawings are typically done by the chief animator. Once the critical chunks have been defined, the individual drawings connecting these pictorial “milestones” are filled in by the secondary animation team. Disney simply extended this process of chunking and sequencing to a larger level – becoming a kind of “meta” animator.

The “**story-boarding**” process, which is a very powerful way of organizing and planning, can be applied at any level of the film-making procedure. It may be applied at chunk sizes ranging from the smallest details of actually animating a particular movement of a particular character (at 32 individual pictures per second), to a particular action or event in a scene, to a scene itself, to the sequencing of the entire film.

From the point of view of strategy, the **story-boarding** process of chunking and sequencing the critical pieces required to achieve a particular result is not limited to film making but can be used for any kind of planning. It can be used to chart and organize a business project, a training seminar, a book, a counseling session, a computer program and so on.

## Dreamer

The dreamer phase is typically the beginning of the creative process, and is followed by the stages of ‘realist’ and ‘critic’. The Dreamer phase of a process is oriented towards the longer term future. It involves thinking in terms of the bigger picture and the larger chunks in order to generate new alternatives and choices. Its primary level of focus is on generating the content or the ‘what’ of the plan or idea. According to Disney, the function of a ‘dreamer’ is to “see clearly in his own mind how every piece of business in a story [or project] will be put.”

As the term implies, “dreaming” is primarily a visual process. From an NLP perspective, the descriptions of Disney’s physiology at the time he was thinking creatively present a classic portrait of the micro behaviors or ‘accessing cues’ associated with deep visual fantasizing. For example, one of his associates reports:

*“When Walt was deep in thought he would lower one brow, squint his eyes, let his jaw drop, and stare fixedly at some point in space, often holding the attitude for several moments... No words could break the spell...”*

This description could easily be of a hypnotic subject having a positive hallucination. The trance-like quality attributed to Disney’s behavior while ‘dreaming’ in the description above indicates just how fully he committed his entire neurology and attention to the creative process. This same kind of ‘hypnotic’ quality has been observed in many other creative geniuses throughout history.

Disney the “dreamer” functioned primarily through a strategy of constructed visual images (**Vc**), focusing on the ‘big picture’ with the attitude that anything is possible. In the Dreamer phase, rather than judge or critically evaluate the idea or its feasibility, the goal is to imagine new possibilities. As a person attempt to see the ‘big picture,’ he or she will want to keep one’s head and eyes up in a posture that is symmetrical and relaxed.

The emphasis of the Dreamer stage of a process is on representing and widening the perception of a particular plan or idea. Dreamer objectives include: Stating the goal in positive terms and establishing the payoffs of the Desired State. The following ‘dreamer’ questions can help to widen, enrich and clarify one’s mental picture of an idea or plan.

“**What do you want to do?** (As opposed to what you want to stop doing, avoid or quit.)”

“**Why do you want to do it?**” “**What is the purpose?**”

“**What are the payoffs?**” “**How will you know that you have them?**” “**When can you expect to get them?**”

“**Where do you want the idea to get you in the future?**”

“**Who do you want to be or be like in relationship to the idea?**”

### Summary of the “Dreamer” State

Level of Focus: What.

Cognitive Style: Vision – Define the ‘big picture’.

Attitude: Anything is possible.

Basic Micro Strategy: Synthesizing and combining the senses.

Physiology: Head and eyes up. Posture symmetrical and relaxed.



**Dreamer State Physiology**

## **Realist**

The realist phase of creativity typically follows the ‘dreamer’ stage and precedes the ‘critic’. The purpose of the ‘realist’ is to render the dream into a viable plan or product.

Disney had two primary strategies for realizing his dreams. The first one involved associating into the various characters inhabiting his dream world. Disney claimed that it was important to “feel every expression” “every reaction” of his characters. One of his animators reported, “Mickey’s voice was always done by Walt, and he felt the lines and the situation so completely that he could not keep from acting out the gestures and even the body attitudes as he said the dialogue.” In the words of another colleague, “The animators saw Walt at the story meetings where he acted out everything as it should be and then again in the ‘sweatbox,’ when they showed him the scenes as they had animated it.”

Disney’s second ‘realist’ strategy involved the process of chunking those “expressions” and “reactions” into specific steps and images. One of Disney’s strengths as a realist was the ability to chunk and sequence his dreams into pieces of a manageable size. In fact, Disney was the innovator of the process of “story-boarding.” A story-board is like a visual table of contents – it is a set of still drawings that represent the sequence of critical events to take place in the storyline of a film. Story-boarding is an extension of the process of animation to a larger scale.

The “story-boarding” process, which is a very powerful way of organizing and planning, can be applied at any level of the film-making procedure. It may be applied at chunk sizes ranging from the smallest details of actually animating a particular movement of a particular character (at 32 individual pictures per second), to a particular action or event in a scene, to a scene itself, to the sequencing of the entire film.

From the point of view of strategy, the story-boarding process of chunking and sequencing the critical pieces required to achieve a particular result is not limited to film making but can be used for any kind of planning. It can be used to chart and organize a business project, a training seminar, a book, a counseling session, a computer program and so on.

Thus, Disney made his fantasies “real” by associating into the feelings (**K**) of the imaginary characters and acting them out to give them life. Disney’s process of ‘realizing’ his dreams took place through Disney’s physical association into the characters of the dream and through the ‘storyboarding’ process of chunking the dream into pieces. The Realist acts “as if” the dream is possible and focuses on the formulation of a series of successive approximations of actions required to actually reach the dream.

The Realist phase of a process is more action oriented in moving towards the future, operating with respect to a shorter term time frame than the Dreamer. The Realist is often more focused on procedure or operations. His or her primary level of focus is on ‘how’ to implement the plan or idea.

The objectives of the ‘realist’ are to: Establish time frames and milestones for progress; Make sure the steps of the project can be initiated and maintained by the appropriate person or group; and that Progress is testable through concrete evidence procedures.

Realist questions include:

**“How specifically will the idea be implemented? How will you know if the goal is achieved? How will the performance criteria be tested?”**

**“Who will do it?”** (Assign responsibility and secure commitment from the people who will be carrying out the plan.)

**“When will each phase be implemented? When will the overall goal be completed?”**

**“Where will each phase be carried out?”**

**“Why is each step necessary?”**

To think like a ‘realist’ it helps to sit with your head and eyes straight ahead or slightly forward with a posture that is symmetrical and slightly forward. Your cognitive focus should be to act ‘as if’ the dream is achievable and consider how the idea or plan can be implemented; emphasizing specific actions and defining short term steps. It also helps to put oneself into ‘second position’ with the people involved in the plan and perceive it from several points of view. An additional strategy is to make a simple ‘storyboard’ of the plan or idea. It is useful to start with a ‘first approximation’: very general and synthetic, encapsulating the whole plan or idea. This can be any kind of a diagram or a sketch. It may be best to make a symbolic or metaphoric picture of the plan or idea. For example, one might draw a kind of landscape, or a group of symbols like rectangles, circles and stars and connect them with lines and arrows.

## *Summary of Realist State*

Level of Focus: How.

Cognitive Style: Action – Define the short term steps.

Attitude: Act ‘as if’ the dream is achievable.

Basic Micro Strategy: Associating into characters and ‘storyboarding’.

Physiology: Head and eyes straight ahead or slightly forward. Posture symmetrical and slightly forward.



**Realist State Physiology**

### **Critic**

The critic phase of creativity typically follows the stages of ‘dreamer’ and ‘realist’. The ‘critic’ evaluates the fruit of the realist’s labor. Shifting the focus from the spontaneous creativity of the Dreamer and the organization and planning abilities of the Realist, the Critic examines the quality of the end result.

In describing his creative process for overseeing a film or animated picture, Disney explained that to be an effective critic it was important to “get far enough away” from a project “to take a second look at it...to see whether there is any dead phase...to see whether the personalities are going to be interesting and appealing to the audience” Disney also maintained that the critic “should also try to see that the things that his characters are doing are of an interesting nature.”

Disney’s process of critical evaluation involved separating himself from the project or idea and taking a more distant ‘second look’ from the point of view of an audience or group of customers. As a critic, Disney sought what was still missing or needed with respect to his creation. In NLP, this is known as a form of “mismatching.” The function of a critic is to avoid problems and ensure quality by logically applying different levels of criteria (Is there a dead phase? Are the characters appealing? Are the actions interesting?) and checking how the idea or plan holds up under various “what if” scenarios.

Because of Disney’s intense commitment to his work, his critical judgment about it was also intense, and he was sometimes referred to as a ‘spoiler’ at this stage (implying a more destructive form of criticism). According to a co-worker, “He never spared feelings, because his interest was in the product and not in who had the best idea or who made a poor suggestion or expected applause.” In fact, Disney’s critical evaluations were so formidable that his animators nicknamed the screening room in which their work was first viewed the “sweatbox.”

In fact, “Critics” are often considered the most difficult people to handle in an interaction because of their seemingly negative focus and their tendency to mismatch the ideas and suggestions of others. The most challenging problems occur when the Critic doesn’t just criticize the dream or the plan, but begins to criticize the Dreamer and Realist. It is different to say, “That idea is stupid,” than to say, “You are stupid for having that idea.”

However, it is important to keep in mind that criticism, like all other behavior, is positively intended. The two most effective principles for dealing with a critic are 1) to find the positive purpose behind the criticism, and 2) to turn criticisms into questions.

As Disney’s earlier comments imply, the location of the Critic needs to be distant enough from the dream and the plan to get a good ‘second look’ at the dream. Not only will distance help the Critic can see the whole picture, but if the Critic was too close he or she might interfere. One way Disney helped to create distance and keep unnecessary criticism from contaminating and hampering the other stages of the process.

the creative process by establishing a particular room (the “sweatbox”) to be used especially for the critic stage of the process.

Ultimately, the objectives of the Critic phase of a project are to make sure an idea or plan is ecologically sound and preserves any positive by-products of the current way(s) of achieving the goal. An effective Critic makes a logical analysis of the proposed plan or path in order to find out what could go wrong and what should be avoided. The Critic phase needs to consider both long and short-term issues, searching for potential sources of problems in both the past and the future. Its primary level of focus is on the ‘why’ of the plan.

Critic questions include:

*“Why might someone object to this new idea?”*

*“Who will this new idea effect and who will make or break the effectiveness of the idea and what are their needs and payoffs?”*

*“When and where would you not want to implement this new idea?”*

*“What positive things do you get out of our current way(s) of doing things?” “How can you keep those things when you implement the new idea?”*

As Disney did, an effective critic needs to consider several different perspectives and criteria as they evaluate a plan or “storyboard” – 1) the whole plan, 2) the characters or individuals involved in implementing the plan or who will be affected by the plan and 3) the specific actions of those individuals.

While taking the second look, it helps to employ the appropriate strategy and physiology related to the ‘Critic’. A typical ‘critic’ physiology involves assuming an angular posture in which the eyes and head are down and slightly tilted. Often, one of the hands is touching the chin or face. The strategy of the critic is to help avoid problems by taking different perspectives and finding missing links by logically considering ‘what would happen if’ problems occur.

#### *Summary of “Critic” State*

Level of Focus: Why.

Cognitive Style: Logic – Avoid problems by finding what is missing.

Attitude: Consider ‘what if’ problems occur.

Basic Micro Strategy: Taking ‘audience’ perspective.

Physiology: Eyes down. Head down and tilted. Posture angular.



**Critic State Physiology**

## Reframing Critics and Criticism

“Critics” are often considered the most difficult people to handle in an interaction because of their seemingly negative focus and their tendency to find problems with the ideas and suggestions of others. Critics are frequently perceived as “spoilers,” because they operate from a “problem frame” or “failure frame.” (Dreamers, on the other hand, function from the “as if” frame,” and realists act from the “outcome frame” and “feedback frame.”)

A major problem with criticisms, on a linguistic level, is that they are typically asserted in the form of generalized judgments, such as: “This proposal is too costly,” “That idea will never work,” “That’s not a realistic plan,” “This project requires too much effort,” etc. One problem with such verbal generalizations, is that, given the way they are stated, one can only agree or disagree with them. If a person says, “That idea will never work,” or, “It is too expensive,” the only way one can respond directly is to say, either “I guess you are right,” or “No, you are wrong, the idea will work,” or, “No, it is not too expensive.” Thus, criticism usually leads to polarization, mismatching and ultimately conflict, if one does not agree with the criticism.

The most challenging problems occur when a Critic doesn’t merely criticize a dream or a plan, but begins to criticize the “dreamer” or “realist” on a personal level. This would be the difference between saying, “That *idea* is stupid,” and, “*You* are stupid for having that idea.” When a Critic attacks a person at the identity level then the Critic is not only a “spoiler,” but also a “killer.”

It is important to keep in mind, however, that criticism, like all other behavior, is positively intended. The purpose of the ‘Critic’ is to evaluate the output of the ‘dreamer’ and ‘realist’. An effective Critic makes an analysis of the proposed plan or path in order to find out what could go wrong and what should be avoided. Critics find missing links by logically considering ‘what would happen if’ problems occur. Good Critics often take the perspective of people not directly involved in the plan or activity being presented, but who may be effected by it, or influence the implementation of the plan or activity (either positively or negatively).

### *Getting Positive Statements of Positive Intentions*

One of the problems with many criticisms is that, in addition to being “negative” judgments, they are stated in negative terms linguistically – that is, they are stated in the form of a verbal negation. “Avoiding stress,” and “becoming more relaxed and comfortable,” for example, are two ways of verbally describing a similar internal state, even though they use quite different words. One statement (“avoiding stress”) describes what is not wanted. The other statement (“becoming more relaxed and comfortable”) describes what is wanted.

Similarly, many criticisms are framed in terms of what is not wanted, rather than what is wanted. As an example, the positive intent (or criterion) behind the criticism, “this is a waste of time,” is probably the desire to “use available resources wisely and efficiently.” This intention is not easy to ascertain from the “surface structure” of the criticism however, because it has been stated in terms of what is to be avoided. Thus, a key linguistic skill in addressing criticisms, and transforming problem frames to outcome frames, is the ability to recognize and elicit positive statements of positive intentions.

This can be challenging at times, because Critics operate so much from a problem frame. For example, if you ask a Critic for the positive intention behind a criticism such as, “This proposal is too expensive,” you are likely to get initially a response like, “The intention is to avoid excessive costs.” Notice that, while this is a “positive intention,” it is linguistically stated or framed negatively—i.e., it states what is to be “avoided” rather than the state to be achieved. The positive statement of this intention would be something like, “To make sure it is affordable” or “To be certain we are within our budget.”

To elicit the positive formulations of intentions and criteria, one needs to ask questions such as: “If (stress/expense/failure/waste) is what you do not want, then what is it that you *do* want?” or “What would it get for you (how would you benefit) if you were able to avoid or get rid of what you do not want?”

The following are some examples of positive reformulations of negative statements.

<u>Negative Statement</u>	<u>Positive Reformulation</u>
too expensive	affordable
waste of time	use available resources wisely
fear of failure	desire to succeed
unrealistic	concrete and achievable
too much effort	easy and comfortable
stupid	wise and intelligent

### *Turning Criticisms Into Questions*

Once the positive intention of a criticism has been discovered and stated in positive terms, the criticism can be turned into a question. When a criticism is transformed into a question, the options for responding to it are completely different than if it is stated as a generalization or judgment. Say, for instance, that instead of saying, “It is too expensive,” the Critic asked, “How are we going to afford it?” When asked this question, the other person is given the possibility of outlining the details of the plan, rather than having to disagree with, or fight with the Critic. This is true for practically every criticism. The criticism, “That idea will never work,” can be transformed into the question: “How are you going to actually implement that idea?” “That’s not a realistic plan,” can be restated as: “How can you make the steps of your plan more tangible and concrete?” The complaint, “It requires too much effort,” can be reformulated to, “How can you make it easier and simpler to put into action?” Typically such questions serve the same purpose as the criticism, but are actually more productive.

Notice that the questions above are all ‘how’ questions. These types of questions tend to be the most useful. Why questions, for instance, often presuppose other judgments, which can lead back into conflict or disagreement. To ask, “Why is this proposal so expensive?”, or “Why can’t you be more realistic?” still presuppose a problem frame. The same is true with questions like, “What makes your proposal so expensive?” or “Who is going to pay for it?” In general, ‘how’ questions are most effective for refocusing on an outcome frame or feedback frame.

### *Helping Critics to be Advisors*

In summary, in order to help someone to be a ‘constructive’ Critic, or an advisor, it helps to: 1) find the positive purpose behind the criticism, 2) make sure the positive intention is stated (framed) positively, and 3) turn the criticism into a question – and in particular, into a ‘how’ question.

This can be accomplished by using the following sequence of questions:

1. *What is your criticism or objection?*  
e.g., “What you are proposing is superficial.”
2. *What is the criterion or positive intention behind that criticism? What is it that you are attempting to achieve or preserve through your criticism?*  
e.g., “Deep and lasting change.”
3. *Given that that’s the intention, what is the HOW question that needs to be asked?*  
e.g., “How can you be sure that the proposal will address the key issues that are necessary for deep and lasting change?”

Practice this process by trying it out on yourself. Think of some area in your life in which you are attempting to manifest new values or beliefs, and go into a “Critic” position with respect to yourself. What objections or problems do you find with yourself or what you are doing?

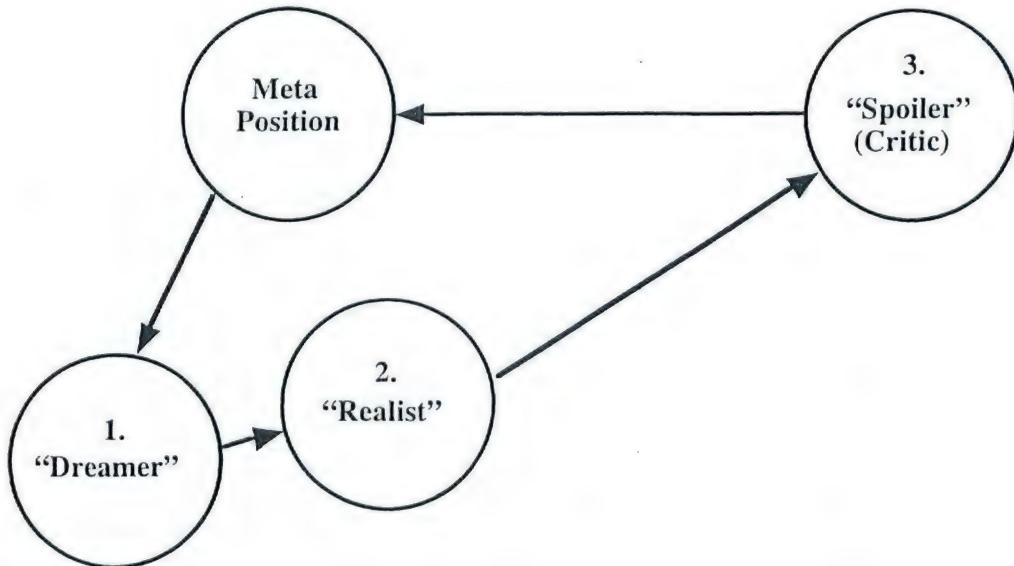
When you have identified some problems or objections, go through the steps defined above, in order to turn your criticisms into questions. Find the positive intention and the how question related to your self-criticism (it sometimes helps to do it with a partner). Once the criticisms have become questions, you can take them to the “dreamer” or “realist” within you in order to formulate appropriate answers.

Ultimately, the objectives of the Critic phase of a project are to make sure an idea or plan is ecologically sound and preserves any positive benefits or by-products of the current way(s) of achieving the goal. When a Critic asks ‘how’ questions, then he or she shifts from being a “spoiler” or “killer” to being an “advisor.”

## Walt Disney – Storyboarding Strategy

One of the goals of NLP is to make an explicit and operational map of the inner strategies of successful people like Walt Disney. Using NLP we can synthesize our information about Disney's creative thinking strategies into a set of steps that may be used by anybody desiring to employ some of the creative processes that contributed to Disney's genius:

1. From Meta Position select three physical locations and label them (1) 'Dreamer', (2) 'Realist' and (3) 'Critic'.



2. Anchor the appropriate strategy to each physical location. Use Meta Position to make sure the physiological state associated with each state stays 'pure.'
  - a. Think of a time you were able to creatively dream up or fantasize new ideas without any inhibitions; step into location (1) and relive that experience.
  - b. Identify a time you were able to think very realistically and devise a specific plan to put an idea effectively into action; step into position (2) and relive that experience.
  - c. Think of a time you were able to constructively criticize a plan – that is, to offer positive and constructive criticism as well as to find problems. Make sure the location is far enough away from the others that it doesn't interfere. Step into location (3) and relive that experience.
3. Pick an outcome you want to achieve and step into the **dreamer** location. Visualize yourself accomplishing this goal as if you were a character in a movie. Allow yourself to think about it in a free and uninhibited manner.
4. Step into the **realist** location, associate into the "dream" and feel yourself in the positions of all of the relevant characters. Then, see the process as if it were a 'Storyboard' (a sequence of images).
5. Step into the **critic** position and find out if anything is missing or needed. Then, turn the criticisms into questions for the dreamer using the following format:

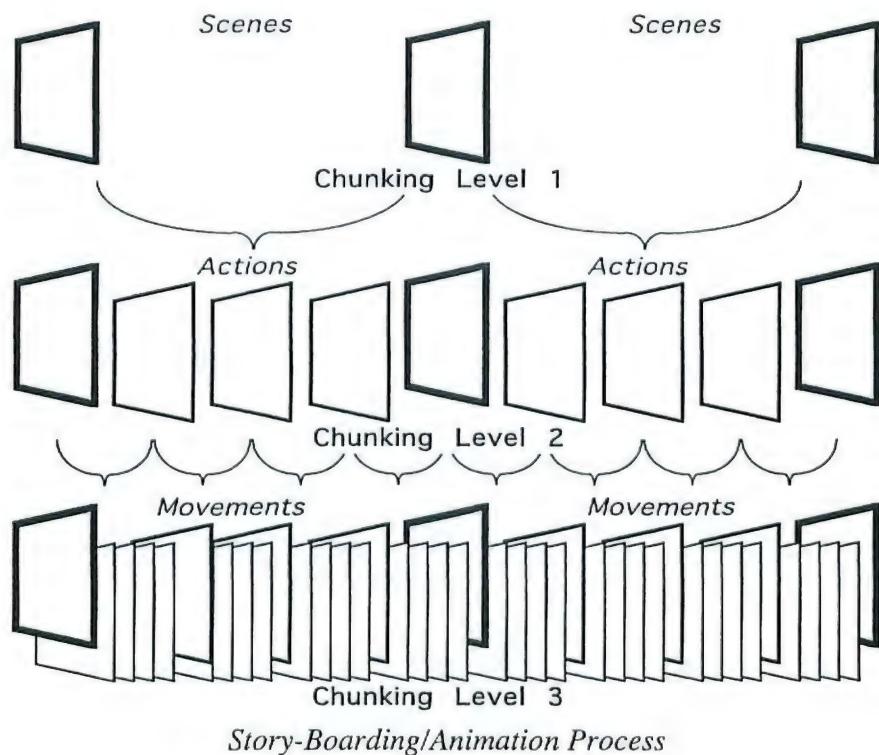
*What is your criticism or objection to the dream or the plan?*

*What is the criterion or positive intention behind the criticism?*

*Given that that's the intention, what is the question that you have about the dream or plan?  
Turn the criticism into a question.*

*What is the HOW question that goes with that question?*

- a. Remember the critic is to criticize the plan, not the realist or the dreamer.
  - b. It is often helpful to have the critic initially acknowledge which elements of the plan are satisfactory before asking questions.
6. Step back into the dreamer position to creatively come up with solutions, alternatives and additions to address the questions posed by the critic. If the critic's questions seem to harsh or it is difficult to think of the questions without accessing the critic state, go through Meta Position before returning to the dreamer location. You may even wish to rephrase the critic's questions from Meta Position.
7. After you have repeated this cycle several times, consciously think of something else that you really enjoy and are good at but continue to walk through the dreamer, realist and critic locations. This will promote lateral thinking and unconscious gestation.
8. Continue to cycle through steps 4, 5 and 6 until your plan congruently fits each position.



## Checklist for Disney Strategy Exercise

Meta Person: \_\_\_\_\_

Guide: \_\_\_\_\_

Explorer: \_\_\_\_\_

- Established rapport before starting.
- Established a meta position.
- Calibration – Guide identified observable physical cues associated with Meta Position.

### **Step 1**

- Established psychogeography for Dreamer, Realist and Critic.

### **Step 2**

a.

- Explorer Associated in Dreamer State at location (1).
- Calibration – Guide identified observable physical cues associated with Dreamer state.
- Guide used first person, present tense.
- (Optional) Anchor Established. Where?
- Separator State – Explorer returned to Meta position with appropriate physiology change.

b.

- Explorer Associated in Realist State at location (2).
- Calibration – Guide identified observable physical cues associated with Realist state.
- Guide used first person, present tense.
- (Optional) Anchor Established. Where?
- Separator State – Explorer returned to Meta position with appropriate physiology change.

c.

- Explorer Associated in Critic State at location (3).
- Calibration – Guide identified observable physical cues associated with Critic state.
- Guide used first person, present tense.
- (Optional) Anchor Established. Where?
- Separator State – Explorer returned to Meta position with appropriate physiology change.

### Step 3

- Explorer exhibited physiology appropriate to Dreamer State at location (1).
  - Calibration – Guide identified observable physical cues associated with Dreamer state.
  - Guide used first person, present tense.
  - (Optional) Guide Utilized anchor appropriately.

#### Step 4

- \_\_\_ Explorer exhibited physiology appropriate to Realist State at location (2).
  - \_\_\_ Calibration – Guide identified observable physical cues associated with Realist state.
  - \_\_\_ Guide used first person, present tense.
  - \_\_\_ (Optional) Guide Utilized anchor appropriately.

## Step 5

- Explorer exhibited physiology appropriate to Critic State at location (3).
  - Calibration – Guide identified observable physical cues associated with Critic state.
  - Guide used first person, present tense.
  - (Optional) Guide Utilized anchor appropriately.
  - Explorer verbalized criticisms as questions.

## Step 6

- Explorer exhibited ‘uncontaminated’ physiology appropriate to Dreamer State at location (1).
  - Calibration – Guide identified observable physical cues associated with Critic state.
  - (Optional) Guide utilized Meta Position to get information from Critic location to Dreamer location

### **Steps 7 & 8**

- \_\_ Explorer exhibited physiology appropriate to the relevant locations.
  - \_\_ (Optional) Guide responded appropriately to ‘contamination’ related to observable physical cues associated with the relevant locations.

## Creating a Healthy Team (Disney ‘Parts Model’)

### **Dreamer:**

*Level of Focus:* What

*Cognitive Style:* Vision – Big picture

*Attitude:* Anything is possible

*Physiology:* Head and eyes up. Posture erect and relaxed.

### **Realist:**

*Level of Focus:* How

*Cognitive Style:* Action – Define the short term steps

*Attitude:* Act “As If” the dream is achievable

*Physiology:* Head and eyes straight ahead or forward. Posture symmetrical and slightly forward.

### **Critic:**

*Level of Focus:* Why

*Cognitive Style:* Logic—Avoid problems by finding what is missing.

*Attitude:* Consider “what if” problems occur.

*Physiology:* Eyes down. Head down and tilted. Posture angular.

1. From a ‘meta position’, identify the symptom or problem.

2. Identify:

- a. What is your ‘dream’ or goal with respect to that symptom?
- b. What is your plan with respect to reaching that ‘dream or goal’?
- c. What kind of criticism do you have about your dream or plan?

3. Spatially locate your Dreamer, Realist and Critic responses on the floor by arranging the position of the cards in a way that intuitively represents the current relationship between these parts.

4. Start with the Critic (have the explorer step into the Critic location and ‘become’ his or her ‘Critic’ part) and ask:

*What is your criticism or objection to the dream or the plan?*

*What is the positive intention behind the criticism?*

*Given that that’s the intention, what is the question that you have about the dream or plan?  
Turn the criticism into a question.*

*What is the HOW question that goes with that question? (You can use the help of the meta position if you need to.)*

*Who is that question directed to? (i.e., the Dreamer, the Realist, the Meta Position)*

*Are you asking the question in a way that the \_\_\_\_\_ can actually understand it?  
(Again, you can use the help of the meta position to help find the right language if you need to.)*

5. Have the critic ask the how question to the other part.

6. Ask the explorer move into the other part and receive the question, understanding the positive intention of the critic. Have the explorer answer the question from that part. Then ask:

*Is that answer in a language that the Critic can understand? (Use the help of the meta position to help find the right language if you need to.)*

7. Return to the Critic and ask:

*Did you receive that response?*

*Does that response meet the positive intention of your question? If not, what else do you need to ask?*

8. Continue this interaction until the Critic's intention is satisfied (the Critic may ask questions to several parts if needed.)

9. Then switch to one of the other parts (Dreamer, Realist or Meta Position that has a question and repeat the same format:

*What is your criticism, objection or concern?*

*What is the positive intention behind the criticism, objection or concern?*

*Given that that's the intention, what is the question that you have? Turn the criticism into a question.*

*What is the HOW question that goes with that question? (Use the help of the meta position if you need to.)*

*Who is that question directed to? (i.e., the Dreamer, the Realist, the Critic, the Meta Position)*

*Are you asking the question in a way that the \_\_\_\_\_ can actually understand it? (Again, you can use the help of the meta position to help find the right language if you need to.)*

Have the concerned part ask the how question to the other part.

Ask the explorer move into the other part and receive the question, understanding the positive intention of the part who had the criticism, objection or concern. Have the explorer answer the question from that part. Then ask:

*Is that answer in a language that the \_\_\_\_\_ can understand? (Use the help of the meta position to help find the right language if you need to.)*

Return to the concerned part and ask:

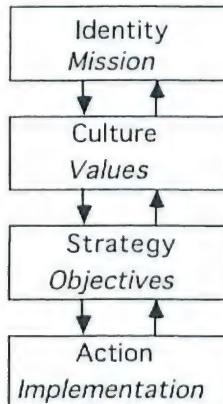
*Did you receive that response?*

*Does that response meet the positive intention of your question? If not, what else do you need to ask?*

## Alignment

Alignment is a key property of effective planning, problem solving and leadership. In an effective system, the actions and outcomes of individuals within their micro environments are congruent with their strategies and goals. These goals, in turn, are congruent with the system's culture and mission with respect to the macro environment. In other words, there is an internal alignment of the individual with his or her vision, and another level of alignment with the community in which a person will attempt to achieve his or her vision.

Thus, there are three types of alignment: 1) personal alignment, in which there is a congruity between all parts of an individual, 2) alignment of supporting processes with respect to a goal or vision 3) environmental alignment, in which the goals and actions of individuals or groups fit congruently and ecologically with the larger system (environment, organization, community, etc.).



### Levels of Processes in a System

Systems are made up of both 'hierarchical' levels and 'logical' levels of interaction. Thus, in a functional system:

- 1) The relationship between the members of the system supports the task to be accomplished.
- 2) There is a shared perception of the levels, perceptual positions and time frames relevant to the problem space and solution space associated with the task.
- 3) There is an alignment of the various logical levels related to the task.
- 4) There is a congruence and alignment of the outcomes of the relevant actors involved in the system. (In a hierarchical or complementary system this is expressed through the ease by which tasks are delegated to the appropriate roles. In a peer or symmetrical system, this is expressed through the ease by which people are able to negotiate and reach consensus about tasks and outcomes.)
- 5) The actions of individuals are aligned with the mission associated with their role.

In other words, there are a number of different types of alignment related to task and relationship.

Types of alignment related to tasks involve:

- The professional and perceptual space of the relevant actors with the problem space to be addressed.
- The perceptual spaces of the relevant actors with one another.
- The levels involved in the task or goal.
- The levels of communication between the relevant actors.

Types of alignment related to relationship involve:

- The different levels of a person within their role.
- Levels of experience between people in different roles.
- Levels between different parts of a person.

To be effective in a particular system, an individual must understand the relationship between the various levels of change, and align his or her activities to fit those dynamics. That is, goals and actions on an individual level should support the functional objectives and strategy related to role, which in turn should be congruent with culture and identity, and mission with respect to the larger environment.

## Creating an Aligned State

One of the most important aspects of effective and ecological communication and change is the congruence between the ‘message’ and the ‘messenger’. On a personal level, a healthy and effective person is one whose own actions are aligned with his or her capabilities, beliefs, values and sense of identity or mission. A person’s sense of role and identity is a dynamic process related to several different factors:

- 1) One’s sense of mission or purpose (which evolves with one’s cycle of development in life).
- 2) One’s view or vision of the larger system of which one is a part (a ‘spiritual’ perspective).
- 3) One’s role in relation to the organizational and family systems of which one is a member.

The concept of different ‘levels’ of change provides us with a powerful road map for bringing the various dimensions of ourselves into alignment in order to realize our goals and visions. Each of these different levels is embodied through successively deeper and broader organizations of ‘neural circuitry’. As one moves from the simple perception of the environment, for instance, to the activation of behavior within that environment, more commitment of one’s mind and body must be mobilized.

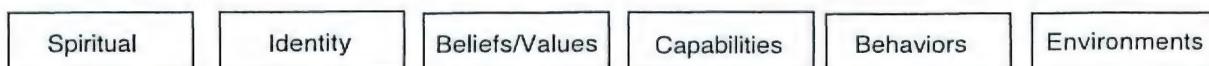
Capacities call into play longer term plans and maps, and require the involvement of even deeper levels of the nervous system. Beliefs and values are represented and manifested through the mobilization of neurology that calls into play structures as deep as the autonomic nervous system (such as the heart and ‘guts’). Identity involves the total commitment of our nervous systems. ‘Spiritual’ experiences involve the resonance between our own mind and nervous system with the larger systems of which we are a part.

The ‘Neuro-Logical Level Alignment’ process provides a way to systematically access and connect experiences and neural processes associated with each of these different levels. By combining mental and physical processes with the different levels of change, a person can bring all these levels into alignment in the service of their vision and mission.

The process uses what is called ‘spatial anchoring’ to activate and integrate these different levels of experience. Many people have found this to be a very powerful experience and a tool to put themselves into an effective ‘aligned’ state.

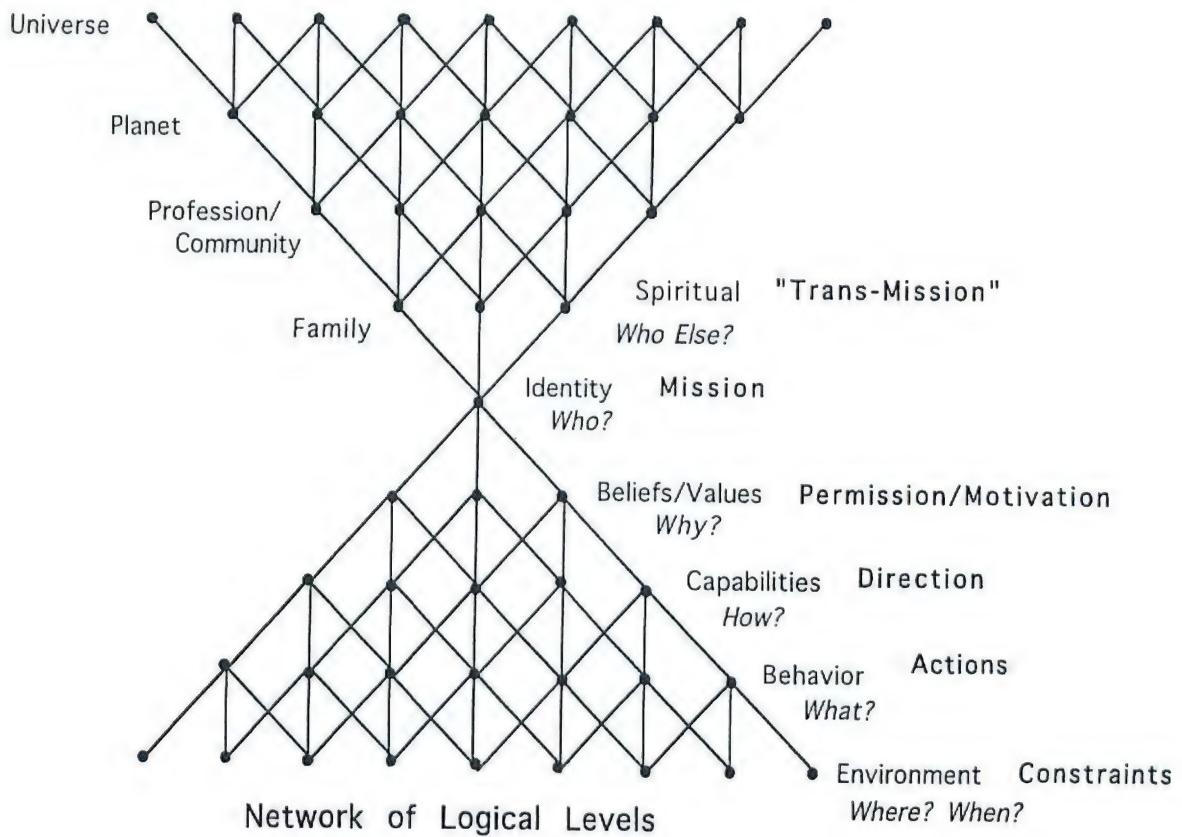
### Logical Level Alignment Exercise

1. Physically lay out one space for each of the six logical levels.



2. Answer the question: “When and where do I want to act more as a leader?”
3. Answer the question: “What will I do when I am acting as a leader in those times and places?”
4. Answer the questions: “How will I carry out those leadership behaviors?” “What capabilities do I have/need to do those actions in those times and places?”
5. Answer the questions: “Why will I use those particular capabilities to accomplish those leadership activities?” “What values are important to me when I am acting as a leader?” “What beliefs guide me when I am acting as a leader?”
6. Answer the questions: “Who am I as a leader?” “What kind of leader am I?”
7. Answer the questions: “Who else am I serving as a leader?” “What is my mission as a leader?” “What is the vision I am pursuing or representing as a leader?”
8. Anchor the state that you entered into in the spiritual space. Take that physiology and inner experience and step back into the identity space so you experience both at the same time. Notice how it enhances or enriches your initial representation of the identity experience.

9. Take your experience of both your vision and your identity and bring them into your belief space. Again notice how it enhances or enriches your initial representation of your beliefs and values.
10. Bring your vision, identity, beliefs and values into the capabilities space. Experience how they strengthen, change or enrich the capabilities you experience within yourself.
11. Bring your vision, identity, beliefs, values and capabilities into the behavior space. Notice how even the most insignificant seeming behaviors are reflections and manifestations of all of the higher levels within you.
12. Bring all levels of yourselves into the environment space and experience how it is transformed and enriched.



## Logical Level Alignment Worksheet

1. "What is the *environment* in which you want to act more as a leader?"

"*When* and *where* do you want your health goal? What will be the external context surrounding the desired goal and activities?"

**I**n the context of \_\_\_\_\_

2. "What are your leadership goals or outcomes in that context?"

"*What*, specifically, do you want to do in that context? What is the new behavior associated with the goal?"

**I** want to \_\_\_\_\_

3. "What *capabilities* are needed to reach those goals within the chosen context?"

"*How* will you accomplish that goal and those behaviors? What capabilities and cognitive processes are needed or presupposed in order to trigger or guide those desired actions in that context?"

**To accomplish this I will use my capabilities to** \_\_\_\_\_

4. "What *beliefs* and *values* are expressed by or will be validated by reaching your goals in that context?"

"What values are expressed by your goal and capabilities?"

**I** want to do this because I value \_\_\_\_\_

"*Why* will you use those particular cognitive processes or capabilities in order to accomplish those goals? What beliefs provide the motivation your thoughts and activity?"

**I** believe \_\_\_\_\_

5. "What is your *identity* or role with respect to the goals and the beliefs and values associated with them?"

"*Who* are you if you engage those particular beliefs, values, capabilities and behaviors in that particular context?"

**I** am are \_\_\_\_\_

"What is your mission in that context?"

**My mission is to** \_\_\_\_\_

6. "What is your sense of the *larger system* in which you are operating?"

"What is your *vision* of the larger system in which you are pursuing that mission?"

**This mission is in the service of the larger vision to** \_\_\_\_\_

## **Checklist for Logical Level Alignment Exercise**

Guide: \_\_\_\_\_ Explorer: \_\_\_\_\_ Meta Person: \_\_\_\_\_

- \_\_\_ Established rapport before starting.
- \_\_\_ Established a meta position.
- \_\_\_ Calibration – Guide identified observable physical cues associated with Meta Position.

### **Step 1**

- \_\_\_ Established psychogeography for each logical level.

### **Step 2**

- \_\_\_ Explorer used and encouraged language appropriate to Environmental level at location (1).
- \_\_\_ Calibration – Guide identified appropriate observable cues associated with level of environment.
- \_\_\_ Guide is able to backtrack explorer's key words for the environmental level.

### **Step 3**

- \_\_\_ Explorer used and encouraged language appropriate to Behavior level at location (2).
- \_\_\_ Calibration – Guide identified appropriate observable cues associated with level of behavior.
- \_\_\_ Guide is able to backtrack explorer's key words for the environmental and behavior level.

### **Step 4**

- \_\_\_ Explorer used and encouraged language appropriate to capability level at location (3).
- \_\_\_ Calibration – Guide identified appropriate observable cues associated with level of capability.
- \_\_\_ Guide is able to backtrack explorer's key words for the environmental, behavioral and capability level.

### **Step 5**

- \_\_\_ Explorer used and encouraged language appropriate to belief level at location (4).
- \_\_\_ Calibration – Guide identified appropriate observable cues associated with level of belief.
- \_\_\_ Guide is able to backtrack explorer's key words for the environmental, behavioral, capability and belief level.

### **Step 6**

- \_\_\_ Explorer encouraged metaphorical language appropriate to identity level at location (5).
- \_\_\_ Calibration – Guide identified appropriate observable cues associated with level of identity.
- \_\_\_ Guide is able to backtrack explorer's key words for the environmental, behavioral, capability, belief and identity level.

## **Steps 7**

- Explorer used and encouraged language appropriate to spiritual level at location (6).
- Calibration – Guide identified appropriate observable cues associated with level of spiritual.
- Guide is able to backtrack explorer's key words for the environmental, behavioral, capability, belief identity and spiritual level.

## **Step 8**

- Guide anchored 'spiritual' level state. Where? How?
- Guide utilized anchor in identity location.
- Guide is able to backtrack explorer's key words for the spiritual level.
- Calibration – Guide identified appropriate observable cues associated with the integration of the spiritual and identity states.

## **Step 9**

- Guide utilized anchor in belief location.
- Guide is able to backtrack explorer's key words for the spiritual and identity level.
- Calibration – Guide identified appropriate observable cues associated with the integration of the spiritual, identity and belief states.

## **Step 10**

- Guide utilized anchor in capability location.
- Guide is able to backtrack explorer's key words for the spiritual, identity and belief level.
- Calibration – Guide identified appropriate observable cues associated with the integration of the spiritual, identity, belief and capability states.

## **Step 11**

- Guide utilized anchor in behavior location.
- Guide is able to backtrack explorer's key words for the spiritual, identity, belief and capability level
- Calibration – Guide identified appropriate observable cues associated with the integration of the spiritual, identity, belief, capability and behavior level states.

## **Step 12**

- Guide utilized anchor in environment location.
- Guide is able to backtrack explorer's key words for the spiritual, identity, belief, capability and behavioral level.
- Calibration – Guide identified appropriate observable cues associated with the integration of the spiritual, identity, belief, capability, behavior and environment level states.

## Communication

Communication is the act of gracefully transmitting messages and ideas. Communication involves a variety of behaviors, processes (digital, symbolic, analogical, etc.), and technologies by which meaning is transmitted or derived from information. The term comes from the Latin *communicare*, which means to “share,” “impart” or “partake.” This, in turn, is derived from *communis*, meaning “common.” The implication is that the purpose of communication is the creation of a common understanding.

According to Weaver and Shannon (1948), all communication is concerned with three problems: (1) how accurately the symbols of communication can be transmitted, (2) how precisely the symbols carry the intended meaning, and (3) how effectively the received meaning affects behavior in the desired way. Cybernetics founder Norbert Wiener (1948) introduced the concept of “feedback” as an essential element of effective communication, which he deduced from observations of interactions between humans, animals, and the physical environment. Wiener described the many ways in which organisms modify their own behavior to correct for adverse reactions to some other aspect of their behavior. In communication, feedback is typically a verbal or visual cue that indicates whether the message has been received and correctly interpreted; it may be a nod of the head, a slap in the face, or a question.

Anthropologist Gregory Bateson (1973) emphasized the importance of meta communication (communication about communication), meta messages and the difference between analog and digital coding as key elements of communication. He and his wife, Margaret Mead, also stressed the significance of context and relationship in the process of communication. The book *Pragmatics of Human Communication* (Watzlawick, Bavelas & Jackson, 1967), an important influence on the development of NLP, is primarily based on Bateson’s ideas.

In many ways, Neuro-Linguistic Programming is fundamentally about communication. In fact, it is often described as a model of communication. NLP tools and techniques such as the Meta Model, Precision Model, Pacing and Leading, matching Representational System Predicates, establishing Rapport, shifting Perceptual Positions, and NLP’s emphasis on observing and interpreting Non-Verbal Cues, make NLP one of the most powerful technologies available for facilitating effective communication.

The following is a summary of some presuppositions, principles and goals of effective communication.

### *Some Presuppositions and Principles of Effective Communication*

1. Communication involves the ability to:
  - a. Send messages.
  - b. Understand people.
2. The Map is Not the Territory.
  - a. People do not respond to reality but to their own map of reality.
  - b. Each person has his or her own individual model of the world.
  - c. The more you know about someone’s model of the world, the more you will be able to effectively communicate with that person.
3. The value of your communication is the message that is received, not the message that was intended or sent.
4. The more rich your map of the world is, the more choices you will have and the easier it will be to communicate with others.
5. Communication = Short Term Learning.  
Learning = Long Term Communication.
6. Feedback is essential for effective communication.  
There are no mistakes in communication, only outcomes.
7. There is some positive intent behind every behavior or response, even if that intention is not clear in the behavior or response.

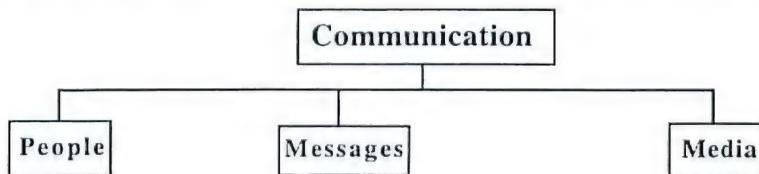
*Some Goals of Effective Communication*

1. Get people to respond to what you meant or what you wanted, not just what you said.
2. Connect the problem space of the problem or task to the perceptual space (model of the world) of the relevant people in the system.
3. Develop the acuity to be able to adjust the second half of your sentence based on the feedback you received to the first half of your sentence.
4. Widen the solution space to be greater than the problem space.

## The Communication Matrix

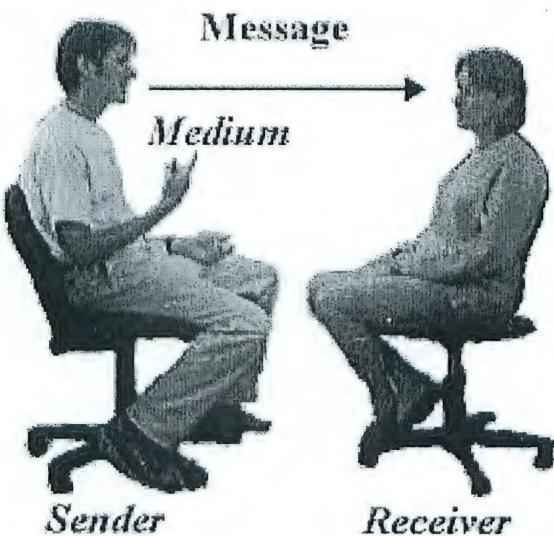
The Communication Matrix provides a simple but useful model of communication which can help people to both understand the process of communication better and to develop more effective communication skills. According to Shannon and Weaver (1948), effective communication includes a source (the speaker); an encoder (the vocal system); a message (language and visual cues); a channel (sound waves in the air); a decoder (the listener's ears); and a receiver (the listener). Effective communication must also address issues of noise (static on a radio; background noise in face-to-face communication).

The Communication Matrix (developed by Robert Dilts in 1989) incorporates these basic elements of communication theory into a practical model of face-to-face communication. According to the communication matrix, communication involves people sending messages to one another through various media. Thus, the three basic elements involved in any process of human communication are: 1) people, 2) messages and 3) the medium through which the messages are being sent.



### Basic Elements Involved in Communication

The simplest case of communication, for instance, would involve two people sending and receiving messages from one another through the medium of the spoken word. The two would alternate at various times between (a) the 'sender' or 'transmitter' of various types of messages and (b) the 'receiver' of various types of messages from the other. As the two people interact, in addition to spoke language, they may at times also draw diagrams, make gestures or refer to written material as a medium for the various messages they are attempting to transmit.

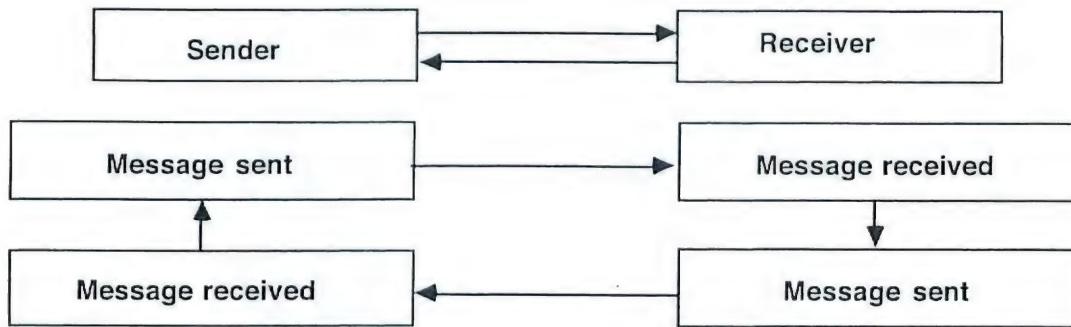


A 'Sender' Transmits a Message to a 'Receiver'

### Intended Versus Received Messages

In considering the 'message' element of communication, a first distinction needs to be made between the 'intended' message and the 'received' message. In NLP there is a saying that "the

meaning of your communication is the response you elicit, regardless of what you intended to communicate." In other words, the 'meaning' of a message to the receiver is what that individual 'receives', irrespective of the intent of the sender. This statement is an acknowledgment that the message intended by the sender is not always the message that is received by the others involved in the interaction. One of the most important communication skills is ensuring that the message you intended is the one that was received. As a business leader once said, "The challenge is to get people to do what you wanted, not what you said." In essence, effective communication is a feedback loop between sender(s) and receiver(s) which attempts to optimize the congruence between the intended and received messages.



**Feedback Loop Between 'Sender' and 'Receiver'**

### *Messages and Meta Messages*

The content of a message is generally accompanied by higher level 'meta messages' (often non-verbal) that give emphasis or provide cues for how to interpret the message. In many cases, the 'content' relates to the purely verbal aspect of the communication, while meta messages relate to the non-verbal portion of the communication. Meta messages are messages about other messages. While two messages may contradict one another, meta messages are on a different 'level' than the content. As an example, a leader may tell a group to "Pay attention" while pointing to his or her eyes. This gesture would be considered a "meta message" indicating how the group is to pay attention (i.e., by watching). If the leader were pointing to his or her ears, it would indicate a different mode of paying attention.

Using a yellow highlighter to mark out key phrases in a text is another example of a meta message. Punctuation also serves as a meta message. Changing a question mark to an exclamation point shifts the meaning of the rest of the message. Even the medium through which a message is sent can be a meta message. A message sent by fax or courier would indicate an urgency with respect to task. A phone call or personal meeting would place an emphasis more on the relational aspects of the message contents.

The function of a meta message is basically to inform the listener as to what 'type' of message is about to be delivered or has been delivered, and how to best 'receive' that message. In other words, meta messages are necessary in order to 'decode' the 'meaning' of a message. Thus, the same message will have different meanings if accompanied by different meta messages.

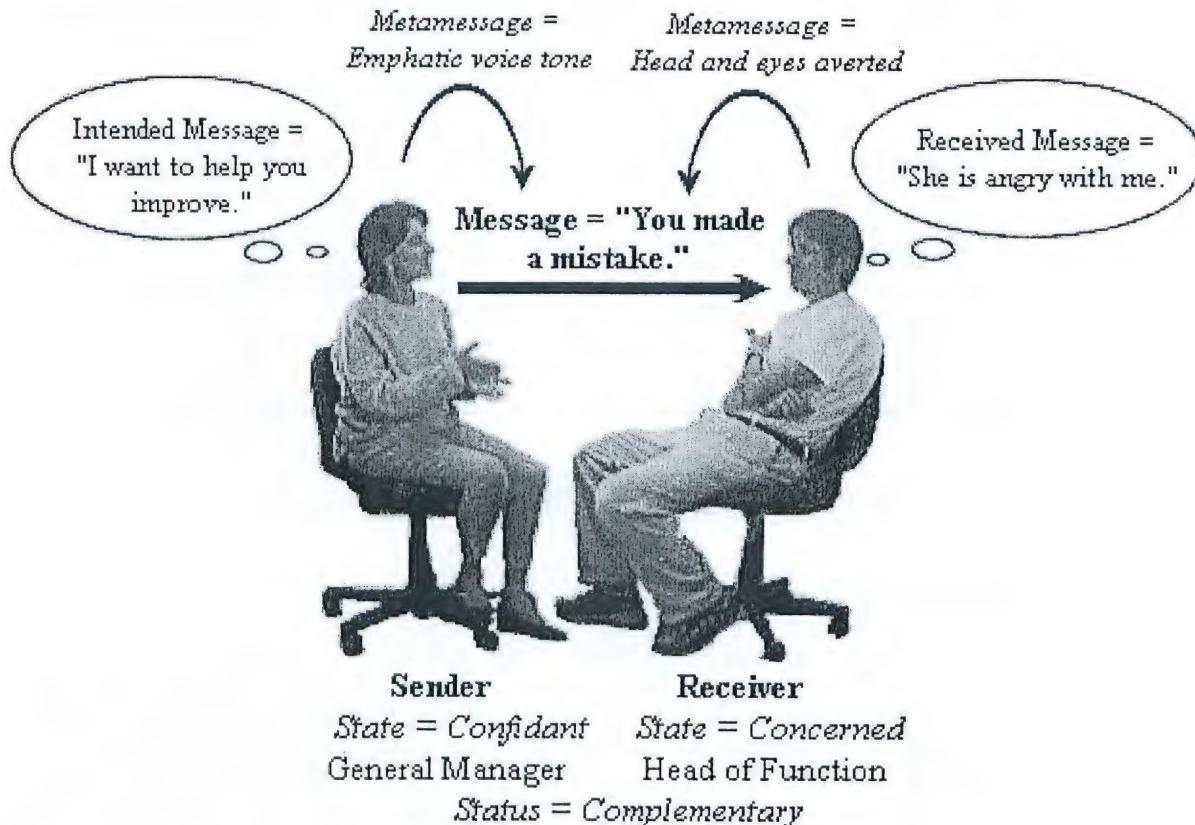
As an analogy, when one computer is communicating with another it needs to send certain 'control characters' along with the actual text it is transmitting. The control characters are meta messages informing the other computer what kind of data it is sending and where to place it in its memory.

### *Levels of Messages*

The purpose of meta messages is often to clarify at which 'level' the content of a message has been sent or received. As an example, if a leader gives a collaborator the verbal message, "You made a mistake," it could be interpreted in several different ways. Is this message intended to be focused at the level of identity or behavior? In other words, is the leader indicating disappointment in the person or simply giving feedback about a particular action? This type of information is often critical for the proper interpretation of a communication. Clearly the message "you made a mistake" takes on a completely different meaning if the meta message is "I want to help you do better" than if the meta

message is "I am angry at you."

Such information is often communicated through non-verbal cues such as voice inflection. The statement, "You made a mistake," is more likely to be interpreted as an indication that the collaborator has done something wrong and is in trouble. The statement, "You *made a mistake*," on the other hand, would be more likely to indicate an emphasis on an event or the correctness of a procedure rather than the person.



### Elements Influencing the Type of Message Received

Because meta messages are typically communicated non-verbally, they are often outside of the awareness of both the sender and the receiver. Developing the awareness to read and monitor meta messages is probably one of the most essential communication skills.

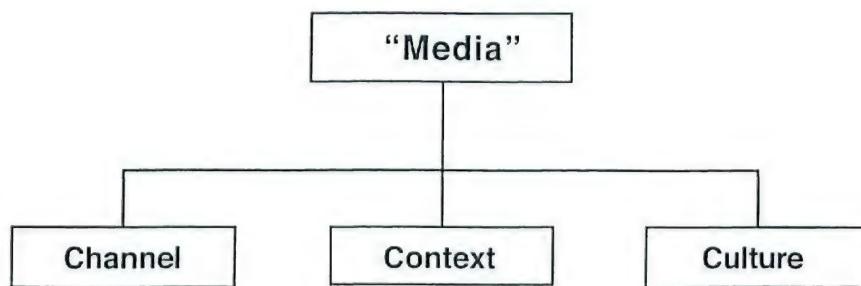
### Media

Clearly, all messages must be transmitted through some kind of medium. The various media through which a message can be conveyed have different constraints and strengths which influence how the message is sent and received. In organizations, the medium through which a message is sent is made up of:

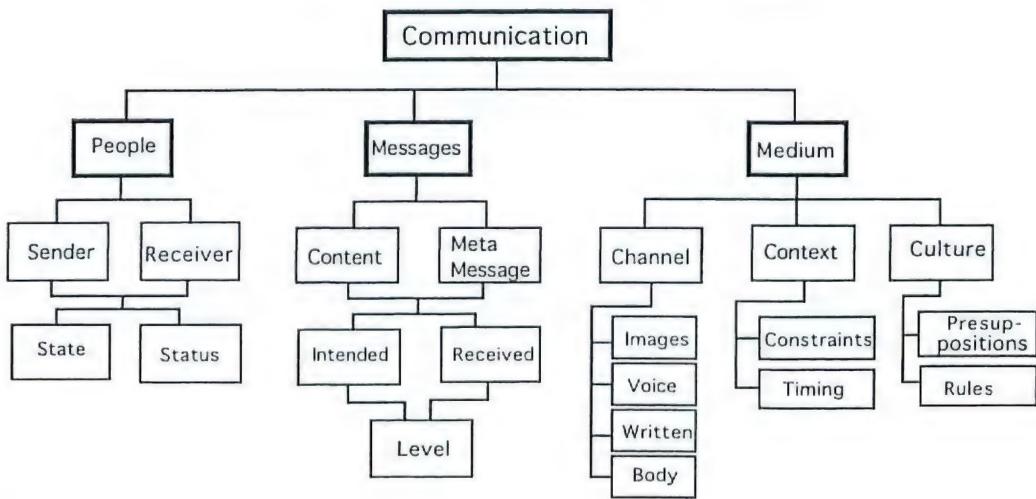
- 1) the channel of communication
- 2) the context of the communication
- 3) the cultural framework surrounding the communication

Channels of communication are related to the different sensory modalities by which a message may be represented. The context and cultural framework surrounding the communication relate to the types of assumptions and inferences which will be used to give meaning to the communication. Effective communication involves determining the sequence and mix of channels to be used to transmit

messages. It also involves considering the meaning of the various channels within the context and the cultural framework in which messages are being sent.



# Overview of the Communication Matrix



## 1. People: Transmitter → Receiver(s)

### a. Physical Dimensions

One – Self	Few – Self	Many – Self
One – One	Few – One	Many – One
One – Few	Few – Few	Many – Few
One – Many	Few – Many	Many – Many

### b. Relationship Dimensions—‘Status’

- Complementary (Parent → Child)
- Symmetrical (Child ↔ Child)
- Reciprocal (Husband ↔ Wife)
- Meta-Complementary (Counselor → Family)

### c. State

- 1) Attitude
- 2) Meta Program

## 2. Messages: (Intended vs. Received)

### a. Message Dimensions

Micro	Macro	Para-Message (same level)
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### b. Meta message: higher level message about:

- 1) the type of message being sent
- 2) the state/status of the messenger
- 3) the state/status of the receiver
- 4) the context in which the message is being sent

### c. Types/Levels of Messages

1) Identity	Who	Mission
2) Beliefs/Values	Why	Permission/Motivation
3) Capabilities	How	Direction
4) Behavior	What	Actions
5) Environment	Where/When	Boundaries/Constraints

## 3. Medium:

### a. Context (Micro and Macro)

- 1) Physical Dimensions (external constraints, “psycho-geography,” audience, etc.)
- 2) Non-Physical Dimensions (objective, role, timing, etc.)

### b. Culture

- 1) presuppositions
- 2) rules

### c. Communication Channels (amount of redundancy and feedback)

- 1) images
- 2) voice
- 3) written
- 4) body

## Communication Strategies

'Communication strategies' relate to managing the mix of elements defined by the communication matrix. There are several classes of activities related to one's communication strategy:

- 1) Determining the general message and 'chunking' it into the content elements and meta messages.
- 2) Establishing the current and desired state, status and context in which the messages and meta messages are to be sent.
- 3) Determining by what channels message and meta message elements will be most effectively transmitted.
- 4) Recognizing and responding to feedback about how messages and meta messages are being received by others.

A communication strategy involves elements which are preplanned and aspects which are selected or adopted in response to feedback. The preplanned aspects of a communication strategy essentially relate to how information is prepared and delivered. For example, having the same message in a written report and on a transparency is a meta message about the significance of the information. Whether printed material is given at the beginning of a meeting or handed out during the progression of the meeting is a meta message about how to perceive that information with respect to the other information that has been presented.

The dynamic aspect of managing messages involves the continuous monitoring of how messages are being sent and received – i.e., the ability to adapt one's messages and meta messages according to the responses received as reactions to other messages. Messages may be 'adapted' via:

- 1) Using observational skill and feedback to reduce distortions between intended and received messages.
- 2) Determining the selection and combination of messages and meta messages.
- 3) Ensuring that the micro messages support the larger message and lead in the direction of the communication outcome.

## Communication/Delegation Exercise

Explorer is to identify a task or activity that is important for him or her to be able to communicate/delegate effectively to others.

### Phase I

Explorer is plan a presentation by defining his or her ‘intended message’ incorporating all logical levels:

*Where – the context or environment in which the task or activity is to be carried out.*

*When – the time frame in which the task or activity is to be completed.*

*What – the behavioral actions or objectives required by the task or activity .*

*How – conceptual or strategic guidelines for conducting the task or activity .*

*Why – the criteria, values or beliefs which are the motives for the task and are to be upheld by the task or activity.*

Explorer is also to define which non-verbal calibrations will be evidence that the messages are being received at the intended level.

### Phase II

The explorer has 5–10 minutes to present the task or activity to role player(s) representing the intended receiver(s). When the explorer has finished the presentation, the receiver(s) records the ‘received’ message by filling the information sheet below.

*Where – the context or environment in which the project is to be carried out.*

*When – the time frame in which the project is to be completed.*

*What – the behavioral actions or objectives required by the project .*

*How – conceptual or strategic guidelines for conducting the project .*

*Why – the criteria, values or beliefs which are the motives for the task and are to be upheld by the project .*

*Who – information regarding key roles, role identity or status issues related to the project .*

### Phase III

The explorer and receiver(s) compare the intended and received messages and discuss the reasons for any discrepancies. The group also discusses which other representational channels could be used to communicate the task or activity more effectively.

## **Creating Multiple Perspectives**

One powerful form of cooperative learning arises out of the fact that people have different maps of the world. The way that somebody else represents a particular idea or concept can automatically stimulate new perspectives and insight in other audiences.

The next exercise is designed to take advantage of this natural process of cooperative learning.

The exercise has to do with the influence of representational channels. It is to be done in a group of four in order to get enough of a range of diversity.

Each group member chooses an idea or concept that is important or challenging to present. The group may decide to choose one particular topic to explore.

Group members are to determine which representational channel is typically used to communicate the idea/concept. Then, each is to come up with two other ways to represent the same idea/concept. For example, one might draw a symbolic or metaphoric picture of the idea/concept, or make a diagram or sketch. It is also possible to make a physical micro demonstration. What is important is that the idea or concept be represented in a new way through a different representational channel.

Each person makes his or her own representations individually without looking at the work of the others. So, each person makes three representations of the idea/concept he or she has chosen: the standard representation and two alternative representations in different representational channels. Then each group member presents the idea or concept to the others using the usual channel and the two new ones. Contrasting different maps and representations of an idea or concept is a way to enrich the perceptions of the idea/concept and create a fuller understanding.

This is an exercise on representing and widening the perception of an idea or concept.

After each person has presented the three alternative representations of the idea/concept, group members are to discuss what is different about the various ways of representing the idea/concept. The group is to determine what is effective about the new representations and what the strengths and weaknesses are of each form of representation for different learning styles and outcomes.

If all of the groups want to share a similar topic area in order to explore potential generalizations, they may choose a topic related to effective communication.

The presupposition of the exercise is that making external maps through different representational channels is an effective method to:

- 1) acknowledge the diversity of learning styles between people, and
- 2) develop multiple perspectives of an idea or concept.

## **Creating Multiple Perspectives**

Form a group of four. Each person will take a turn being the presenter.

- 1) Each group member picks an idea or concept that is important or challenging to present (or the group may choose to all use the same topic).
- 2) Each group member individually determines which representational channel is typically used to communicate the idea/concept.
- 3) Each group member individually comes up with two other ways to present the same idea/concept such as pictorial, metaphorical, symbolic or through a micro demonstration.
- 4) One at a time, each group member individually presents the idea/concept to the group using the usual channel and the two new ones.
- 5) The group discusses the impact and effectiveness of the different modes of representation.

Following the discussion, the group rotates to the next presenter.

## Characterological Adjectives

Characterological adjectives are words which encode fundamental characteristics of a relationship. An important feature of characterological adjectives is that, by defining one part of a relationship, they necessarily imply the other part of that relationship. To be “victimized,” for instance, implies a perpetrator. To be “defensive” implies that there is some type of aggression.

The following exercise provides a way to identify key characterological adjectives in a relationship

### Identifying Characterological Adjectives

1. Think of someone you have a difficult time communicating with; a situation that is not a creative or productive interaction. It doesn't bring out the best in you. You feel stuck in some way.
2. Now imagine you are in a movie theater. See the person on the screen, behaving the way he or she behaves, and give a word to describe a behavior.

e.g. “*Self Absorbed*” “*Aggressive*”

Given all the bits of information of how this person is behaving this is the way you would describe the other person's behavior.

3. Now take a deep breath. See yourself on the screen in the loop with this other person. Now you are in third position. What are the words you would use to describe your own behavior?

e.g. “*Withdrawn*” “*Defensive*”

So, the other person is “self absorbed” and you are “withdrawn”; or the other person is “aggressive” and you are “defensive.” As you can see, characterological adjectives describe both sides of the communication loop—i.e., “it takes two to tango.”

According to Gregory Bateson these two descriptions indicate two different types of problematic relationships. One that is *symmetrical* -- “self absorbed” and “withdrawn” indicate similar types of behavior -- and one that is *complementary* -- “aggressive” and “defensive” are opposite types of behaviors that support one another.

Exploring characterological adjectives is a way to attain a ‘double description’ by expanding your perception of an interaction beyond your own ‘first position’ to include the ‘second position’ perspective of the other person. Taking ‘third position’ is about seeing a big enough chunk of the system to understand your own part in the interaction, as well as the other person's, and to get the information you need to change the dynamics of the relationship that are not useful.

## Conflict

Conflict is defined as “a state of disharmony between incompatible or antithetical persons, ideas, or interests.” Psychologically, conflict is a mental struggle, sometimes unconscious, resulting when different representations of the world are held in opposition or exclusivity. Conflicts can occur either between parts of ourselves internally (inner conflict) or externally with others (interpersonal conflict).

Internally, conflicts occur between different parts of human experience and at many levels. Conflict may occur about behaviors, for example. A person may want to watch a certain television program on one hand, but on the other hand go outside and get exercise. Conflicts may also occur between various capabilities, between creativity and protection. A person may have conflicting beliefs or values. An individual may believe it is very appropriate to learn mathematics, on one hand, but not believe that it is possible for him or her to learn. This will lead to a struggle with respect to learning math. Identity level conflicts often occur with respect to roles. A person may experience struggles between their duties as a parent on one side, and as a professional on the other.

Interpersonally, different individual’s maps of reality are sometimes so diverse that “bumps” arise when they attempt to communicate or interact together. Basic assumptions, beliefs, values and presuppositions about the world become clustered together to create different models of reality. When these models or maps don’t contain mechanisms for responding creatively to “bumps” with other maps, energy is released in the form of disagreement, dispute, fighting, or other forms of conflict. Negotiation, mediation and arbitration are all various forms of managing interpersonal conflicts.

NLP Provides many skills and tools for addressing and resolving both internal and interpersonal conflicts. These include techniques of Reframing, Conflict Integration, shifting Perceptual Positions, and many fundamental communication skills such as the Meta Model, Calibration and non-verbal communication methods.

The following is a general overview of the basic NLP approach to addressing conflicts.

1. Clearly identify the key issues involved in the conflict. These issues will be expressed as either opposites or polarities. Determine at which logical level the conflict is most focused.  
*e.g., exercising versus watching television = a behavior level conflict*
2. Establish an unbiased ‘meta-position’ that is clearly distinct from either of the parts or parties in conflict.
3. Find the positive intention and purpose behind the issues of each part or party. The positive intention will necessarily be at a higher level than the issues creating the conflict. (“You cannot solve a problem at the same level of thinking that is creating the problem.”) Positive intentions will typically not be opposites or polarities. More often they are complementary, and beneficial systemically as opposed to individually.  
*e.g., exercising = “endurance”; watching television = “relaxation”*
4. Make sure that each part or party recognizes and acknowledges the positive intent of the other. This does not mean that either one has to accept the method with which the other is attempting to satisfy the positive intention, nor does it mean that either part or party has to compromise his or her position.
5. From ‘meta position’, keep ‘chunking up’ until a common intention on a higher level has been identified that both parts or parties share.  
*e.g., getting energy*
6. Explore other alternatives for achieving the shared intention than the two current choices which are producing the conflict. This may include a mixture of the two existing choices, but should include at least one alternative that is completely distinct from the two in conflict.  
*(e.g., exercise while watching television, do a little of both (i.e., do one one day and the other the next day), take a trip that involves a number of entertaining physical activities, take the time to investigate an energizing diet that would support both exercise and relaxation, etc.)*
7. Identify which choice or combination of choices will most effectively and ecologically satisfy the common intention and the individual positive intentions with the greatest positive impact systemically.

## Dealing with Conflicting ‘Parts’

Sometimes, even after one has updated one’s maps of the events of his or her past history, there are still issues remaining to be addressed. These issues do not relate to external events, but rather to the deepest structures within the person himself or herself—to conflicts between different ‘parts’ of one’s own mental system. In other words, these issues relate to conflicts between oneself and oneself. Freud believed such internal struggles were ultimately at the root of many psychological problems. As he maintained:

*“One side of the personality stands for certain wishes, while another part struggles against them and fends them off. There is no neurosis without such a conflict.”*

According to Freud:

*Conflict is produced by frustration...in order to become pathogenic, external frustration must be supplemented by internal frustration...external frustration removes one possibility of satisfaction, internal frustration tries to exclude another possibility, and it is this second possibility which becomes the debate ground of the conflict.*

In a typical situation, if we are prevented from reaching a goal due to an external impasse, we maintain our focus on the outcome, inhibit any “antithetical ideas” and continue to attempt other avenues or strategies in order to attain the goal.

If there is an internal conflict, however, the “debate ground” shifts inward, and a battle begins between the two parts of one’s self. As Freud points out, the external frustration is supplemented by internal frustration. It is as if the person is “caught between a rock and a hard place.” And when the fight is between two parts of one’s self, one can never “win.” As Freud put it:

*This conflict is not resolved by helping one side to win a victory over the other...one side in either event will remain unsatisfied.*

Attempting to solve this type of conflict by suppressing one side, as one would do with typical “antithetical ideas,” creates a ‘double bind’ in which you are “damned if you do and damned if you don’t.” It is as if the struggle is between two conflicting intentions rather than between an intention and the uncertainty as to whether it will be achieved. This makes the situation different than what is addressed by reframing, in that the core issue is not understanding the intention of the part to which one has not been listening. In that case, the focus is on a particular problematic behavior. The resolution involves finding the intention behind the behavior and generating alternative choices in order to reach the intention. In the case of conflict, however, it is the confrontation of antagonistic intentions that is at issue. Because the parts are at cross purposes, no alternatives can be produced which satisfy both intentions directly.

Furthermore, because the internal conflict is not grounded in external events or results, it cannot be resolved by feedback from some external source. In fact, in such a situation, anything can become another stimulus (or excuse) for a fight. Even the simplest decisions lead to a struggle – a struggle which is never resolved because it is not really about the content of the decision but about the deeper structure beneath it.

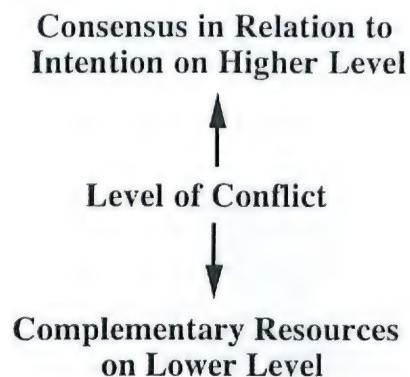
The constant stress coming from the conflict and frustration may lead to other symptoms, including physical symptoms. These symptoms also become a “debate ground” for the conflicting parts. Since systems attempt to reach balance or homeostasis, however, certain symptoms may actually provide a potential point of “compromise” between the conflicting parts. As Freud claimed:

*The two powers which have entered into opposition meet together again in the symptom and become reconciled by means of the compromise contained in symptom-formation. That is why the symptom is capable of such resistance; it is sustained from both sides.*

*The pathogenic conflict in a neurotic must not be confounded with a normal struggle between conflicting impulses all of which are in the same mental field. It is a battle*

*between two forces of which one has succeeded in coming to the level of the preconscious and conscious part of the mind, while the other has been confined on the unconscious level. That is why the conflict can never have a final outcome one way or the other..An effective decision can be reached only when they confront each other on the same ground. And, in my opinion, to accomplish this is the sole task of the treatment.*

A large part of the NLP conflict integration process involves sorting experiences into their appropriate levels in order to avoid unnecessary confusion and trouble. A typical approach to conflict resolution in NLP is to first “chunk up” one level above the conflict to find consensus with respect to “higher level” positive intentions. A second step involves “chunking down” one level below the level at which the conflict is taking place. At this “lower level” it is possible to find “complementary” resources related to the parts of the system which are seemingly in conflict.



*Solving a Problem Through a Different Level of Thinking  
Than is Creating the Problem*

The following is a general overview of the basic NLP technique for integrating conflicting ‘parts’.

1. Identify the conflict you have and physically sort out the ‘parts’ in conflict.
2. Establish a ‘meta-position’ that is disassociated from either of the conflicting parts.
3. Ask each part to express its perceptions of the other.
4. Find the positive intention and purpose of each part.
5. Make sure that each part recognizes and accepts the positive intent of the other.
6. From ‘meta position’ identify what is a common intention on a higher level that both parts share
7. Identify the resources and capabilities that each part has that would be helpful to the other part in order to accomplish its own positive intention and the common goal.
8. Physically synthesize and integrate the formerly conflicting parts into a new representation and internalize it in your body.
9. Imagine what it is like to go into both your past and future, taking this integration with you and experiencing how it positively influences the events of your life.

## Integration of Conflicting Parts

Internal conflicts occur when two or more “parts” of a person lead to behaviors which are contradictory. The most problematic conflicts occur when the opposing parts have negative judgments about each other.

1. Identify the conflicting parts your partner has. Common types of conflicts include logic vs. emotion, rational vs. intuitive, childhood beliefs vs. adult beliefs, past vs. future, etc.

**Calibrate the physiology of each of the parts in conflict (pay particular attention to asymmetries of movements and gestures.).**

2. **Represent the parts in all sensory systems.** For example, you can say, “Put the part of you that believes X in one hand (choose the hand that your partner used when expressing that belief) What image, voice and feelings do you have associated with that part of you?” If one of these has been missing have the explorer add it in. Put the other part in the other hand and do the same thing.



**Sorting Conflicting Parts**

3. Have your partner associate into the perceptual position of each part and ask each part to look at the other and describe what it sees. At this stage the different parts will typically dislike and distrust the other.
4. Find the **positive intention** and **purpose** of each part. Make sure that each part recognizes and accepts the positive intent of the other.

Make sure that each part realizes that their conflict is directly interfering with the achievement of their own purposes.

5. Have the explorer associate into each part look at the other again, and this time describe the **resources** that the other has that would helpful to its own positive intention.

Secure a congruent agreement from the parts to **combine their resources** so they can more fully accomplish their own purpose. Usually the reason that they will have mistrusted or disliked each other previously is precisely because the other has not had these resources and has thus seemed foreign and out of control.

6. Ask your partner to bring his or her hands together at the same time that he or she creates a new representation of himself or herself in all sensory systems that fully integrates the resources of both parts. (Calibrate to an integration/symmetry of the two physiologies that accompanied the separate parts.)
  - a. Remind your partner that an integration is not a compromise or a contract. If you are successful there will no longer be two separate parts but rather one whole person.
  - b. The “**visual squash**” technique described above is not always the only method of integration although it is the most common and is very effective. Sometimes, for instance, the explorer may want to expand a new image out from meta position to incorporate the conflicting parts.
  - c. Sometimes a conflict may involve more than two parts. In such a case you may either expand this technique to include all three or do the integrations two at a time.

## **Checklist for Integration of Conflicting Parts**

- Established rapport before starting.
- Established a meta position.
- Calibration – Guide identified observable physical cues associated with Meta Position.

### **Step 1**

- Guide identified parts involved in conflict.
- Calibration – Guide identified observable physical cues associated with each part.

### **Step 2**

- Guide sorted parts into distinct locations.
- Guide assisted explorer to represent each part in all senses.

### **Step 3**

- Explorer exhibited appropriate language and physical cues associated with each part.
- Calibration – Guide identified observable physical cues associated with each part.
- Guide checked the perceptual position of each part.

### **Step 4**

- Guide identified positive intention of each part.
- Guide checks acknowledgement of the positive intention of each part by the other.

### **Step 5**

- Explorer exhibited appropriate language and physical cues associated with each part.
- Calibration – Guide identified observable physical cues associated with each part.
- Guide elicited the verbalization of the resources of each part.

### **Step 6**

- Explorer exhibited ‘integrated’ symmetrical physiology appropriate to the integration of the two parts.
- Calibration – Guide identified observable physical cues associated with the integrated state.
- Guide elicited and described the explorer’s internal representation of the integrated state.

## Mediation

Mediation is defined by Webster's dictionary as "intervention between conflicting parties or viewpoints to promote reconciliation, settlement, compromise or understanding." Mediation involves the intervention of a third party in a dispute between two other parties in an attempt to reconcile their differences, usually upon their request. Thus, mediation is a form of communication in which a facilitator attempts to help two other parties in conflict settle their disagreement. Mediation is often used in international conflicts (where it is also termed "conciliation") and in labor-management disputes.

Mediation can be contrasted with negotiation and arbitration. Negotiation usually takes place without the involvement of a third party. In a negotiation, the parties in conflict attempt to reach an agreement or resolution by themselves. Similar to mediation, arbitration involves a third party. An 'arbitrator', however, usually has the power to make decisions that are binding on the parties. The mediator seeks to persuade them to agree. In this sense, a mediator often works as a translator or interpreter between the parties in conflict. In NLP terminology, the purpose of a mediator is to be in a type of formal *Meta Position*.

NLP offers a number of effective skills, strategies and techniques which can help in mediation. The ability to establish Rapport, identify Positive Intentions, and to take several Perceptual Positions, for example, are essential skills for effective mediation. Other NLP skills and models, such as Pacing and Leading, Backtracking, the Meta Model (or Precision Model), NeuroLogical Levels, The Communication Matrix, and verbal reframing, are also valuable tools and resources for effective mediation.

The following exercise explores how NLP skills and distinctions can be used to promote effective mediation in a conflict situation.

### Making a Meta Map for 'Mediation'

Lay out three physical locations for 1st, 2nd and 3rd position. With a guide go through the following steps.

#### A. Define the Problem Space.

1. Enter into the 1st position location and imagine that the person (or part) is right now in front of you, interacting with you. Imagine the range of possible behaviors that could create problems.
2. Take a point of view to the interaction as if you were seeing it from the perspective of someone who has the best interest of the system in mind ('Mediator Position'). Observe the 1st position behavior in relation to the other person.
3. Now imagine you were "in the shoes" (2nd position) of the other person (or part). How do you experience the 1st position behavior from the perspective of the other?
  - a. Are there any other influences on this person/part from outside of the physical sphere of the interaction that you notice and need to add to the map?
  - b. If you were in the world view of the other person/part, what would be the positive intention behind your behavior in this interaction?
4. Go back to the mediator perspective and:
  - a. Sort out the messages from the meta-messages in the communication. Are the messages that are intended being received?
  - b. What influences are there related to representational channels, state, physiology or meta model patterns?
  - c. How does physical location (psychogeography) influence the way the communication is being interpreted in the system?

## **B. Broaden your Solution Space.**

1. Review your map of your larger ‘landscape’ and determine what is the most appropriate long term result for this interaction with respect to the whole system.
2. Identify a) the positive intent of each of the two positions in conflict, b) a common criterion on a higher level encompassing the positive intentions of both the positions in conflict and c) what complementary capabilities/resources the two positions have that could actually be used to support one another.
3. What resources do you have that would address the whole problem space?
4. Imagine how you might make the appropriate alterations to messages, meta messages, logical levels or physical positioning in order to clarify, align or balance the interaction within the total solution space.
  - a. Draw upon past successful experiences, anchors or mentors to help you find an answer.
  - b. How can you incorporate all of the relevant perspectives and intentions to a common goal or purpose?

## **C. Role Play the Interaction**

The explorer is to be in the ‘mediator’ role. The person who has been guiding the explorer through the above steps stays a ‘coach’ in a ‘4th’ physical location. Two others are role play the conflicting positions/parts. The goal of the ‘mediator’ is to apply pacing & leading, backtracking, and reframing to ‘open new space’ in order to possibly, but not necessarily, reach consensus.

## **Checklist for Meta Map Exercise**

- Established rapport before starting.
- Established an observer position.
- Established psychogeography of interaction to be mapped (i.e., role 1 and role 2).

### **Step 1**

- Explorer exhibits physiology and language patterns associated with first position.
- Guide encouraged the use of first person, present tense language.

### **Step 2**

- Explorer exhibits physiology and language patterns associated with meta position.
- Guide used and encouraged third person language.
- Guide asked questions to determine structure of system.

### **Step 3**

- Explorer exhibits physiology and language patterns associated with second position.
- Guide encouraged the use of second person language.
- Guide asked questions to determine other person's world view and positive intention.

### **Step 4**

- Explorer exhibits physiology and language patterns associated with meta position.
- Guide used and encouraged third person language.
- Guide asked questions to sort out intended and received messages, logical levels and psychogeography.

### **Steps B1 – B4**

- Guide assisted explorer to identify resources.
- Guide is able to describe resources in sensory based terms.
- Guide is able to assist explorer to maintain language and physical patterns associated with the resource and the specific perceptual positions.

## Elements of a Complete Piece of Change Work

### A. Establishment of Well-Formed Outcome

1. Oriented towards the positive.  
*What do you want? What is the intended purpose of the outcome?*
2. It is something that is initiated and maintained through your own behavior, not something outside of you.  
*What will you be doing?*
3. Testable in sensory experience.  
*What, specifically, will you see, hear and feel as you manifest this outcome? What milestones are there?*
4. Preserves the positive by-products and intentions of the current behaviors.  
*What positive things, in any way, do you get out of your present state? How, specifically, will you maintain those things with your new outcome?*
5. Is appropriately contextualized and ecologically sound.  
*Who and what else could this outcome effect? Are there any ways in which this outcome might have a negative effect? What will you do to prevent any negative effects?*

### B. Diagnosis of Present State. *What are the limiting factors?*

1. Old anchors?
2. Physiology (accessing cues, states, etc.)?
3. Representational systems, synesthesias or submodalities?
4. Conflicts or polarities?
5. Meta model violations or belief statements?

### C. Selection of Appropriate Intervention

1. Collapse Anchors or Conflict Integration
2. V-K Dissociation or Change Personal History
3. Reframing
4. New Behavior Generator or Disney “Imagineering” Strategy
5. R.O.L.E. Utilization or other Strategy Intervention
6. Logical Level Alignment

### D. Utilization of the Intervention

1. Flexibility in Applying a technique.
2. Congruency.
3. Ecology.

### E. Testing

1. Behavioral Demonstration
2. Calibration of Relevant Cues.

### F. Future Pacing

1. Ecology
2. Contextualization

## **'Intervision' Exercise**

1. Explorer describes a problem or goal to the other group members.
2. Each person in the group (including explorer) individually draws a picture representing his or her own understanding of the 'landscape' of the problem space. The picture may be a sketch, a metaphor, or symbolic representation.
3. In turn, each group member is to share and explain their picture and then ask the explorer a question about an area of potential solution space. The explorer is not to answer, only acknowledge the question.
4. Each group member, including the explorer who is go last, makes a representation of the solution space he or she thinks would be most valuable to the explorer.

To make their individual representations, group members may either:

- a) make a new map.
- b) add directly to their previous map of the problem space.
- c) add directly to the explorer's map of the problem space.
- d) present a metaphor or analogy.

## **Self Assessment Questions**

A basic strategy for self assessment has to do with self assessment questions. These questions relate to what one asks oneself about one's own performance and accomplishments. Many effective people indicate that they have a standard set of questions that ask themselves at the end of each day relating to what they have done and how they could improve and have improved.

1. Identify the skills that are most important for you to continue to develop. Identify in which way you most want to improve your ability with that skill. To perform:  
a) more completely b) more consistently c) more quickly d) more easily e) in more contexts
2. Establish a path of 'proximal goals' for your own practice and improvement with respect to the skill(s). Make sure they are a) incremental, b) challenging and c) stimulating
3. Each day consider your answers to the following sets of questions:

### T.O.T.E. Questions:

- Am I more clear about my goals?
- Do I have more or better evidence evidence about reaching my goals?
- Do I know better what to do?
- Can I respond more effectively to problems?

### Logical Level Questions:

- Have I made the environment any better?
- Am I doing anything differently/better?
- Am I thinking differently/better?
- How well am I meeting my values and beliefs?
- How well am I matching my own sense of self and personal integrity?
- How fully am I pursuing my mission with respect to the larger system?

Since self assessment relates to self managed learning is also useful to consider questions related to the various stages of the cycle of self learning:

- What new awareness did I get?
- What explorations did I permit myself?
- What discoveries did I make?
- What learnings or skills have begun to consolidate?
- What learnings or skills have become internalized as part of me?
- What am I able to code or express more clearly or effectively?

## GLOSSARY OF NLP TERMINOLOGY

**ACCESSING CUES** – Subtle behaviors that will both help to trigger and indicate which representational system a person is using to think with. Typical types of accessing cues include *eye movements, voice tone and tempo, body posture, gestures and breathing patterns*.

**ANCHORING** – The process of associating an internal response with some *external trigger* (similar to classical conditioning) so that the response may be quickly, and sometimes covertly, reaccessed.

**AUDITORY** – Relating to *hearing* or the sense of hearing.

**BEHAVIOR** – The specific physical actions and reactions through which we interact with the people and environment around us.

**BEHAVIORAL FLEXIBILITY** – The ability to vary one's own behavior in order to elicit or secure a response from another person.

**BELIEFS** – Closely held generalizations about 1) cause, 2) meaning and 3) boundaries in the (a) world around us, (b) our behavior, (c) our capabilities of and our (d) identities. Beliefs function at a different level than concrete reality and serve to guide and interpret our perceptions of reality often by connecting them to our criteria or value systems. Beliefs are notoriously difficult to change through typical rules of logic or rational thinking.

**CALIBRATION** – The process of learning to read another person's unconscious, non-verbal responses in an ongoing interaction by pairing observable behavioral cues with a specific internal response.

**CALIBRATED LOOP** – Unconscious pattern of communication in which behavioral cues of one person triggers specific responses from another person in an ongoing interaction.

**CAPABILITY** – Mastery over an entire class of behavior – knowing **HOW TO** do something. Capabilities come from the development of a mental map that allows us to select and organize groups of individual behaviors. In NLP these mental maps take the form of cognitive strategies and maps.

**CHUNKING** – Organizing or breaking down some experience into bigger or smaller pieces. “*Chunking up*” involves moving to a larger, more abstract level of information. “*Chunking down*” involves moving to a more specific and concrete level information. “*Chunking laterally*” involves finding other examples at the same level of information.

**CONGRUENCE** – When all of a person's internal beliefs, strategies and behaviors are fully in agreement and oriented toward securing a desired outcome.

**CONTEXT** – The framework surrounding a particular event. This framework will often determine how a particular experience or event is interpreted.

**CRITERIA** – The values or standards a person uses to make decisions and judgments.

**DEEP STRUCTURE** – The neurological maps (both conscious and unconscious) that people use to organize and guide their behavior.

**ENVIRONMENT** – The external context in which our behavior takes place. Our environment is that which we perceive as being “outside” of us. It is not part of our behavior but is rather something we must react to.

**FOUR TUPLE** (or **4-tuple**) – A shorthand method used to notate the structure of any particular experience. The concept of the four-tuple maintains that any experience must be composed of some combination of the four primary representational classes—**<A,V,K,O>**—where *A = auditory, V = visual, K = kinesthetic, and O = olfactory/gustatory*.

**FUTURE PACING** – The process of *mentally rehearsing* oneself through some future situation in order to help insure that the desired behavior will occur naturally and automatically.

**GUSTATORY** – Relating to *taste* or the sense of taste.

**IDENTITY** – Our sense of who we are. Our sense of identity organizes our beliefs, capabilities and behaviors into a single system.

**INSTALLATION** – The process of facilitating the acquisition of a new strategy or behavior. A new strategy may be installed through some combination of anchoring, accessing cues, metaphor and future pacing.

**KINESTHETIC** – relates to *body sensations*. In NLP the term kinesthetic is used to encompass all kinds of feelings including *tactile*, *visceral* and *emotional*.

- **LOGICAL LEVELS** – An internal hierarchy of organization in which each level is progressively more psychologically encompassing and impactful. In order of importance (from high to low) these levels include 1) identity, 2) beliefs, 3) capabilities, 4) behavior and 5) environment.

**META MODEL** – A model developed by John Grinder and Richard Bandler that identifies categories of language patterns that can be problematic or ambiguous.

**META PROGRAM** – A level of mental programming that determines how we sort, orient to, and chunk our experiences. Our meta programs are more abstract than our specific strategies for thinking and define our general approach to a particular issue rather than the details of our thinking process.

**METAPHOR** – The process of thinking about one situation or phenomena as something else, i.e. *stories*, *parables* and *analogies*.

**MODELING** – The process of observing and mapping the successful behaviors of other people.

**NEURO-LINGUISTIC PROGRAMMING (NLP)** – A behavioral model and set of explicit skills and techniques founded by John Grinder and Richard Bandler in 1975. Defined as *the study of the structure of subjective experience*. NLP studies the patterns or “*programming*” created by the interaction between the brain (“*neuro*”), language (“*linguistic*”) and the body, that produce both effective and ineffective behavior in order to better understand the processes behind human excellence. The skills and techniques were derived by observing the patterns of excellence in experts from diverse fields of professional communication including psychotherapy, business, health and education.

**OLFACTORY** – Relating to *smell* or the sense of smell.

**OUTCOMES** – Goals or desired states that a person or organization aspires to achieve.

**PACING** – A method used by communicators to quickly establish *rapport* by matching certain aspects of their behavior to those of the person with whom they are communicating – a *matching* or *mirroring* of behavior.

**PARTS** – A metaphorical way of talking about independent programs and strategies of behavior. Programs or “parts” will often develop a persona that becomes one of their identifying features.

**PERCEPTUAL POSITIONS** – A particular perspective or point of view. In NLP there are three basic positions one can take in perceiving a particular experience. *First position* involves experiencing something through our own eyes *associated* in a first person point of view. *Second position* involves experiencing something as if we were in another person’s ‘shoes’. *Third position* involves standing back and perceiving the relationship between ourselves and others from an observer’s perspective.

**PREDICATES** – Process words (like *verbs*, *adverbs* and *adjectives*) that a person selects to describe a subject. Predicates are used in NLP to identify which *representational system* a person is using to process information.

**QUOTES** – A pattern in which a message that you want to deliver can be embedded in quotations, as if someone else had stated the message.

**RAPPORT** – The establishment of *trust, harmony and cooperation* in a relationship.

**REFRAMING** – A process used in NLP through which a problematic behavior is separated from the *positive intention* of the internal program or “part” that is responsible for the behavior. New choices of behavior are established by having the part responsible for the old behavior take responsibility for implementing other behaviors that satisfy the same positive intention but don’t have the problematic by products.

**REPRESENTATIONAL SYSTEMS** – the five senses: *seeing, hearing, touching (feeling), smelling, and tasting.*

**REPRESENTATIONAL SYSTEM PRIMACY** – Where an individual systematically uses one sense over the other to process and organize his or her experience. Primary representational system will determine many personality traits as well as learning capabilities.

**SECONDARY GAIN** – Where some seemingly negative or problematic behavior actually carries out some *positive function* at some other level. For example, smoking may help a person to relax or help them fit a particular self image.

**STATE** – The total ongoing mental and physical conditions from which a person is acting.

**STRATEGY** – A set of explicit mental and behavioral steps used to achieve a specific outcome. In NLP, the most important aspect of a strategy is considered to be the representational systems used to carry out the specific steps.

**SUB-MODALITIES** – Sub-modalities are the special sensory qualities perceived by each of the senses. For example, visual sub-modalities include *color, shape, movement, brightness, depth, etc.*, auditory sub-modalities include *volume, pitch, tempo, etc.*, and kinesthetic sub-modalities include such qualities as *pressure, temperature, texture, location, etc.*

**SURFACE STRUCTURE** – The *words or language* used to describe or stand for the actual primary sensory representations stored in the brain.

**SYNESTHESIA** – The process of *overlap* between representational systems, characterized by phenomena like “*see-feel circuits*,” in which a person derives feelings from what they see, and “*hear-feel circuits*,” in which a person gets feelings from what they hear. Any two sensory modalities may be linked together.

**T.O.T.E.** – Developed by Miller, Galanter and Pribram, the term stands for the sequence *Test-Operate Test-Exit*, which describes the basic feedback loop used to guide all behavior.

**TRANSDERIVATIONAL SEARCH** – The process of *searching back* through one’s stored memories and mental representations to find the reference experience from which a current behavior or response was derived.

**TRANSLATING** – The process of *rephrasing* words from one type of representational system predicates to another.

**UTILIZATION** – A technique in which a specific strategy sequence or pattern of behavior is *paced or matched* in order to *influence* another’s response.

**VISUAL** – Relating to *sight* or the sense of sight.

**WELL-FORMEDNESS CONDITIONS** – The set of conditions something must satisfy in order to produce an effective and ecological outcome. In NLP a particular goal is well-formed if it can be: 1) *stated in positive terms*. 2) *defined and evaluated according to sensory based evidence*. 3) *initiated and maintained by the person who desires the goal*. 4) *made to preserve the positive by-products of the present state*. 5) *appropriately contextualized to fit the external ecology*.

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# **NLP University 100**

## **2009 Addendum**

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**Dynamic Learning Publications/ NLP University Press  
P.O. Box 1112  
Ben Lomond, California 95005  
Telephone (831) 336-3457 Fax (831) 336-5854**

# NLP University 100

## 2009 Addendum

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## Background and Principles of NLP

Neuro-Linguistic Programming (NLP) is a behavioral model, and set of explicit skills and techniques, founded by Richard Bandler and John Grinder in 1975. Defined as *the study of the structure of subjective experience*, NLP studies the patterns or “*programming*” created by the interaction between the brain (“*neuro*”), language (“*linguistic*”) and the body. From the NLP perspective, it is this interaction that produce both effective and ineffective behavior, and are responsible for the processes behind both human excellence and pathology. Many of the skills and techniques of NLP were derived by observing the patterns of excellence in experts from diverse fields of professional communication including psychotherapy, business, hypnosis, law and education.

NLP is a behavioral science that provides:

1. An **Epistemology** – A system of knowledge and values
2. A **Methodology** – Processes and procedures for applying knowledge and values
3. A **Technology** – Tools to aid in the application of knowledge and values

NLP contains a set of principles and distinctions which are uniquely suited to analyze and identify crucial patterns of values, behavior and interrelationships so that they may be put into pragmatic and testable implementations. NLP provides a way to look past the behavioral content of what people do to the more invisible forces behind those behaviors; to the structures of thought that allow people to perform effectively.

The name “Neuro-Linguistic Programming” indicates the integration of three different scientific fields. The *neuro* component of Neuro-Linguistics is about the nervous system. A large part of NLP has to do with understanding and using principles and patterns of the nervous system. According to NLP, thinking, remembering, creating, vision-making, and all other cognitive processes, are a result of programs executed within the human nervous system. Human experience is a combination or synthesis of the information that we receive and process through our nervous system. Experientially this has to do with sensing the world – seeing, feeling, hearing, smelling, and tasting.

Neuro-Linguistic Programming also draws from the field of *linguistics*. In the NLP view, language is in some ways a product of the nervous system, but language also stimulates and shapes the activity within our nervous systems. Certainly, language is one of the primary ways a person has to activate or stimulate the nervous systems of other people. Thus, effective communication and interaction has to do with how we use language to instruct, to stimulate, and to verbalize concepts, goals and issues related to a particular task or situation.

The *programming* aspect of Neuro-Linguistic Programming is based upon the idea that the processes of human learning, memory, and creativity, are a function of programs – neurolinguistic programs that function more or less effectively to accomplish particular objectives or outcomes. The implication of this is that, as human beings, we interact with our world through our inner programming. We respond to problems and approach new ideas according to the kind of mental programs that we have established – and not all programs are equal. Some programs or strategies are more effective for accomplishing certain kinds of activities than others.

There are overlaps between NLP and other systems of psychology because NLP draws from the neurological, linguistic and cognitive sciences. It also draws from principles of computer programming and systems theory. Its purpose is to synthesize together a number of different kinds of scientific theories and models. One value of NLP is that it brings together different types of theories into a single structure.

Most of the techniques and tools of NLP have been derived through a process called “modeling.” The primary approach of NLP has been to model effective behaviors and the cognitive processes behind them. The NLP modeling process involves finding out about how the brain (“*Neuro*”) is operating by analyzing language patterns (“*Linguistic*”) and non-verbal communication. The results of this analysis are then put into step-by-step strategies or programs (“*Programming*”) that may be used to transfer the skill to other people and areas of application.

Perhaps the most important aspect of NLP is its emphasis on practicality. NLP concepts and training programs emphasize interactive, experiential learning contexts so that the principles and procedures may be readily perceived and understood. Furthermore, since NLP processes are drawn from effective human models, their value and underlying structures are often intuitively recognized by people with little or no previous experience.

## *Historical Overview of NLP*

NLP was originated by John Grinder (whose background was in linguistics) and Richard Bandler (whose background was in mathematics and gestalt therapy) for the purpose of making explicit models of human excellence. Their first work, *The Structure of Magic Vol. I & II* (1975, 1976), identified the verbal and behavioral patterns of therapists Fritz Perls (the creator of gestalt therapy) and Virginia Satir (internationally renowned family therapist). Their next work, *Patterns of the Hypnotic Techniques of Milton H. Erickson, M.D. Vol. I & II* (1975, 1976), examined the verbal and behavioral patterns of Milton Erickson, founder of the American Society of Clinical Hypnosis and one of the most widely acknowledged and clinically successful psychiatrists of our times.

As a result of this earlier work, Grinder and Bandler formalized their modeling techniques and their own individual contributions under the name “Neuro-Linguistic Programming” to symbolize the relationship between the brain, language and physiology. The name *Neuro-Linguistic Programming* encompasses the three most influential components involved in producing human experience: neurology, language and mental “programming.” The neurological system is responsible for how we process information and regulate our bodies; language determines how we interface and communicate with other people; and our programming determines the kinds of models of the world we create and act from. Thus, the purpose of NLP is to describe the fundamental dynamics between mind (neuro) and language (linguistic) and how their interplay effects our body and behavior (programming).

The basics of this model have been described in a series of books including *Frogs Into Princes* (Bandler & Grinder, 1979), *Neuro-Linguistic Programming Vol. I* (Dilts, Grinder, Bandler, DeLozier 1980), *Reframing* (Bandler & Grinder, 1982), *Roots of NLP* (Dilts, 1983), *Using Your Brain* (Bandler, 1985), and *Introducing Neuro-Linguistic Programming* (O'Connor and Seymour, 1990). The initial core of Bandler and Grinder’s groundbreaking work includes processes such as the Meta Model, Representational System Primacy, Accessing Cues, Sensory Based Predicates, Pacing and Leading, Anchoring, Reframing, Change Personal History, V-K Dissociation and State Management.

Bandler and Grinder developed many of their early models and techniques in concert with a core group of committed colleagues and students including Leslie Cameron-Bandler, Judith DeLozier, Robert Dilts, David Gordon and Stephen Gilligan. These individuals have also made significant contributions to the field of NLP including: Meta Programs and the Imperative Self (Cameron-Bandler 1985, 1986), Perceptual Positions and NLP New Coding (DeLozier and Grinder, 1987), Cognitive Strategies and Belief Systems (Dilts, 1983, 1990, 1991), Submodalities and Metaphors (Gordon, 1978) and Hypnosis (Gilligan, 1991). Other key contributors and developers in the field of NLP include Steve and Connirae Andreas, Todd Epstein, Tim Hallbom, Suzi Smith, Ed and Maryann Reese, Tad James, Wyatt Woodsmall, and Sid Jacobson.

## *Principles of NLP*

NLP is a pragmatic school of thought—an ‘*epistemology*’—that addresses the many levels involved in being human. NLP is a multi-dimensional process that involves the development of behavioral competence and flexibility, but also involves strategic thinking and an understanding of the mental and cognitive processes behind behavior. NLP provides tools and skills for the development of states of individual excellence, but it also establishes a system of empowering beliefs and presuppositions about what human beings are, what communication is, and what the process of change is all about. At another level, NLP is about self-discovery, exploring identity and mission. It also provides a framework for understanding and relating to the ‘spiritual’ part of human experience that reaches beyond us as individuals to our family, groups, communities and global systems. NLP is not only about competence and excellence, it is about wisdom and vision.

In essence, all of NLP is founded on two fundamental premises:

1. *The Map is Not the Territory.* As human beings, we can never know reality. We can only know our perceptions of reality. We experience and respond to the world around us primarily through our sensory representational systems. It is our ‘neuro-linguistic’ maps of reality that determine how we behave and that give those behaviors meaning, not reality itself. It is generally not reality that limits us or empowers us, but rather our map of reality.

2. *Life and 'Mind' are Systemic Processes.* The processes that take place within a human being and between human beings and their environment are systemic. Our bodies, our societies, and our universe form an ecology of complex systems and sub-systems all of which interact with and mutually influence each other. It is not possible to completely isolate any part of the system from the rest of the system. Such systems are based on certain 'self-organizing' principles and naturally seek optimal states of balance or homeostasis.

All of the models and techniques of NLP are based on the combination of these two principles (see Presuppositions of NLP). In the belief system of NLP, it is not possible for human beings to know objective reality. Wisdom, ethics and ecology do not derive from having the one 'right' or 'correct' map of the world, because human beings would not be capable of making one. Rather, the goal is to create the richest map possible that respects the systemic nature and ecology of ourselves and the world we live in. The people who are most effective are the ones who have a map of the world that allows them to perceive the greatest number of available choices and perspectives. NLP is a way of enriching the choices that you have and perceive as available in the world around you. Excellence comes from having many choices. Wisdom comes from having multiple perspectives.

### *NLP Techniques*

According to NLP, the basic process of change involves 1) finding out what the *present state* of the person is, and 2) adding the appropriate *resources* to lead that person to 3) the *desired state*.

#### **Present State + Appropriate Resources → Desired State**

The distinctions and techniques of NLP are organized to help identify and define present states and desired states of various types and levels and then to access and apply the appropriate resources to produce effective and ecological change in the direction of the desired state.

Through the years, NLP has developed some very powerful tools and skills for communication and change in a wide range of professional areas including: counseling, psychotherapy, education, health, creativity, law, management, sales, leadership and parenting.

The function of any Neuro-Linguistic Programming technique is to enrich, or add to, one of the three properties of effective behavior – that is, having: a) an explicit representation of the outcome; b) sensory experience; and c) flexibility of internal responses and external behavior.

The many, many explicit techniques and procedures that make up the behavioral technology of NL are presented in the ever-growing number of books that represent the development of the field of Neuro-Linguistic Programming. There are also many techniques that have not been transformed into written representations, and many still in the process of being refined and developed.

1. Identifying and matching the most commonly used sensory-based words and predicates of another person for the purposes of creating rapport and insuring understanding.
2. Pacing, through the matching and mirroring of postural, gestural, and facial positions and movements, and of voice tone and tempo qualities of another person, in order to contribute to attaining rapport with that person.
3. Translating experiences expressed through one representational modality to another, to help increase understanding between individuals or groups having difficulty communicating with one another.
4. Observation and utilization of sensory accessing cues and micro-behavioral cues, to help understand and pace another person's typical processing strategies for organizing and making sense of his or her experiences, and communications received from others.
5. Helping to build new representational possibilities and capabilities in others, through the use of sensory-specific language and systematic use of accessing cues.
6. Helping to increase sensory awareness in order to more accurately and immediately perceive and evaluate the effects of people's behaviors on one another.

7. Identifying and sorting out multiple (incongruent) communications in others in order to help reduce misunderstanding and confusion.
8. Establishing anchors and triggers for positive experiences and resources that occur in one context, and re-triggering or re-sequencing them in other situations where they are not yet available to a particular individual or group. As a result, those behaviors and responses may serve as resources in other contexts as well.
9. Identifying and breaking unuseful “calibrated loops” between individuals and groups in order to add more flexibility and choice in responses and communication.
10. Breaking down unspecified verbal maps into higher quality verbal descriptions and, more importantly, behavioral demonstrations and examples, in order to create easily shared and observable representations of a person’s experiences and outcomes.
11. Framing and re-framing problematic behaviors and responses by making the positive intentions and positive by-products underlying them more explicit. The purpose of this is to create a shift in the perceptions of people, with respect to the behavior, so that it may be handled more resourcefully. The shift in perception functions to:
  - a. Separating “self” from “behavior” through the reinforcement and validation of the individual as a person by associating the “self” with the positive intent. Any negative responses may, then, be directed toward the behavioral manifestation rather than the person himself or herself.
  - b. Preserving the positive intent of the problematic behavior even though the behavioral means used to secure the positive intention are altered.
  - c. Preserving and validating the positive by-product of the behavior or response, which serves to help preserve the ecology of the system as well as validating the “self” while changing the unwanted behavior.
12. Creating and reinforcing flexibility in the members of a system through role playing and other forms of behavioral modeling, in order to help the members of the system more consistently and systematically elicit desired behaviors and responses from other members.
13. Eliciting and detailing a high quality description and demonstration of a group’s or individual’s outcome(s) or desired state(s) that will be well-formed, practical, and ecological for the particular system to which they belong.

### *Continuing Developments in NLP*

The field of NLP has continued to evolve tremendously over the past two decades; primarily as a result of the continued application of modeling in many new areas. The “open” structure of NLP has allowed the field itself to change and expand in accordance with its own findings. Each time the focus of attention shifts as a result of modeling some new phenomenon in our experience, another level of distinctions and patterns is added — there is “recoding” of NLP.

NLP New Coding, for example, is a reformulation of basic NLP principles and processes developed by Judith DeLozier and John Grinder in the late 1980’s (*Turtles All The Way Down*, 1987). Drawing heavily from Gregory Bateson’s work in the area of systems theory, NLP New Code proposes a reorganization of NLP methods and tools based upon the key concepts of “states,” “conscious/unconscious relationships,” “perceptual positions,” “multiple descriptions” and “perceptual filters.” This represented a fundamental departure from the “old code” (or “classic code”) of NLP, which was primarily based on the categorization of specific linguistic, behavioral, and sensory distinctions. In contrast, the point of focus in NLP New Coding is on the interactions and relationships between the elements in a system.

Another important development in NLP has been the emergence of Systemic NLP, pioneered by Robert Dilts and Todd Epstein in the late 1980's. The purpose of Systemic NLP was to reintroduce a cybernetic framework, promote an emphasis on 'ecology', and bring systemic thinking skills more fully into the practice of NLP. In addition to Gregory Bateson's work in the area of cybernetics, Systemic NLP incorporated new ideas and principles from other systemically based models and methodologies, including self-organization theory, neural network technology, and artificial intelligence.

In the early 1990's Dilts and Epstein were joined by Judith DeLozier, who added developments from her work with NLP New Coding. The result of this collaboration is a profound and integrated approach to NLP that has been responsible for many of the most significant recent developments in the field; including: the S.C.O.R.E. Model, NeuroLogical Levels, Generative NLP, and Somatic Syntax.

The basic intention of Systemic NLP is to synthesize and expand upon the existing models and distinctions of NLP by placing them in a systemic perspective. Similar to NLP New Coding, the focus of Systemic NLP is on the dynamic interactions and relationships between the elements in a system, with an emphasis on ecology. Systemic NLP principles and methods have been able to extend applications of NLP beyond individuals to address issues relating to groups, organizations and cultures. These developments are exemplified by the establishment of NLP University, the NLP World Health Community, the NLP Community Leadership Project, and the Global NLP Training and Consulting Community.

### *Third Generation NLP*

NLP is now in its third decade as a field of study and has evolved considerably since its beginnings in the mid 1970s. As a third generation of NLP developers, trainers and practitioners move into the world it is also time to acknowledge a third generation of NLP.

*First generation NLP* was the original model of NLP derived by Bandler and Grinder from their study of effective therapists. These early applications of NLP were all applied one-on-one, with the focus almost entirely on the individual.

First generation NLP presupposed a therapeutic relationship in which the therapist knew what was best for his or her client. NLP was considered something that one "did to other people." This led to some NLP applications as seeming to be manipulative when used in non-therapeutic contexts. Most of the first generation tools and techniques were focused on problem solving at level of behavior and capabilities.

*Second generation NLP* began to emerge in the mid to late 1980s. At this time, NLP was expanding to embrace other issues beyond the therapeutic context. While still focused on individuals, second generation NLP emphasized the relationship between oneself and others and widened to include such areas of application as negotiation, sales, education and health.

The tools of NLP also expanded to include higher-level issues, such as those related to beliefs, values and "meta programs." Second generation NLP techniques integrated the use of new distinctions such as time lines, submodalities and perceptual positions.

*Third generation NLP* has been developing since the 1990s. The applications of third generation NLP are generative, systemic and focused on high level issues such as identity, vision and mission. Third generation NLP emphasizes whole system change and can be applied to organizational and cultural development as well as to individuals and teams.

All generations of NLP focus on the structure and functioning of the mind (this is the essence of "NeuroLinguistic Programming"). The first two generations of NLP, however, placed attention almost exclusively on the cognitive mind. Third generation NLP expands to include both somatic processes and larger system dynamics (i.e., "field") in the total "unit of mind." Thus, third generation NLP works with the interaction between three "minds":

1. A cognitive mind that emerges from the brain
2. A somatic mind centered in the body
3. A "field" mind that comes from our connection and relationships with other systems around us

Third generation NLP aspires to develop and sustain an organic relationship of balance between these three minds. The techniques of third generation NLP have to do with centering in our somatic core, cognitively sponsoring the development of wholeness within people, and connecting through relationships to the wisdom and guidance within the larger systems around us.

## PRESUPPOSITIONS OF NLP

### The Map is not the Territory.

1. People respond to their own perceptions of reality.
2. Every person has their own individual map of the world. No individual map of the world is any more "real" or "true" than any other.
3. The meaning of a communication to another person is the response it elicits in that person, regardless of the intent of the communicator.
4. The 'wisest' and most 'compassionate' maps are those which make available the widest and richest number of choices, as opposed to being the most "real" or "accurate."
5. People already have (or potentially have) all of the resources they need to act effectively.
6. People make the best choices available to them given possibilities and the capabilities that they perceive available to them from their model of the world. Any behavior no matter how evil, crazy or bizarre it seems is the best choice available to the person at that point in time – if given a more appropriate choice (within the context of their model of the world) the person will be more likely to take it.
7. Change comes from releasing the appropriate resource, or activating the potential resource, for a particular context by enriching a person's map of the world.

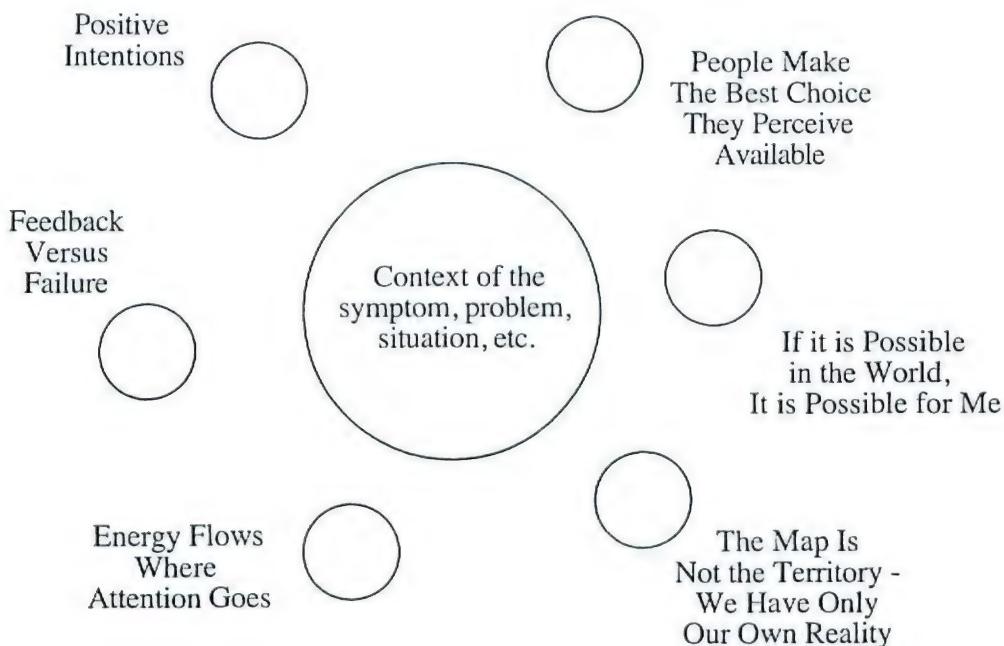
### Life And 'Mind' Are Systemic Processes.

1. The processes that take place within a person, and between people and their environment, are systemic. Our bodies, our societies and our universe form an ecology of systems and sub-systems all of which interact with and mutually influence each other.
2. It is not possible to completely isolate any part of a system from the rest of the system. People cannot not influence each other. Interactions between people form feedback loops – such that a person will be effected by the results that their own actions make on other people.
3. Systems are 'self organizing' and naturally seek states of balance and stability. There are no failures only feedback.
4. No response, experience or behavior is meaningful outside of the context in which it was established or the response it elicits next. Any behavior, experience or response may serve as a resource or limitation depending on how it fits in with the rest of the system.
5. Not all interactions in a system are on the same level. What is positive on one level may be negative on another level. It is useful to separate behavior from "self" – to separate the positive intent, function, belief, etc. that generates the behavior from the behavior itself.
6. At some level all behavior is (or at one time was) "positively intended". It is or was perceived as appropriate given the context in which it was established, from the point of view of the person whose behavior it is. It is easier and more productive to respond to the intention rather than the expression of a problematic behavior.
7. Environments and contexts change. The same action will not always produce the same result. In order to successfully adapt and survive, a member of a system needs a certain minimum amount of flexibility. That amount of flexibility has to be proportional to the variation in the rest of the system. As a system becomes more complex, more flexibility is required.
8. If what you are doing is not getting the response you want then keep varying your behavior until you do elicit the response.

## NLP Presuppositions Exercise

The following exercise, designed by Tim Hallbom and Suzi Smith, is another way to operationalize NLP presuppositions with respect to a specific symptom, situation or problem. It involves establishing reference experiences for each presupposition and then transferring them into a particular context in which you would like to experience them more strongly.

First, lay out a space for the problem context or situation. Then arrange a series of locations, representing various NLP presuppositions, around the problem situation.



1. Standing in the context space, access the symptom or problem state, and the context in which it occurs to create an anchor.
2. Step into each presupposition space, accessing and anchoring the idea, then look at yourself in the problem context (disassociated), through the filters of the presupposition.
3. Access the presupposition fully, then step into the context space, adding the presupposition.
4. Continue around the circle until all spaces have been accessed and integrated.

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## **Basic Assumptions About Learning**

In the epistemology of NLP, it is assumed that learning takes place through the establishment of ‘neuro-linguistic’ programs—a learner forms cognitive maps within his nervous system which become linked with external observations and behavioral responses. Cognitive maps are formed through the influence of language and other representations which activate coherent patterns within the nervous system of the learner. Learning takes place through an organic cycle in which cognitive maps and behavioral reference experiences ‘pile up’ to form larger coordinated systems of programs that produce skilled performance.

Skilled performance requires the organization of different kinds of maps which mobilize different areas, or levels, of the nervous system including:

Perception of the external environment – The *Where & When* of learning.

Activation of specific concrete behaviors – The *What* of learning.

Use of internal strategies, plans or other mental capabilities – The *How* of learning.

Invocation of personal beliefs and values – The *Why* of learning.

Self concept and sense of identity – *Who* is learning.

### *Basic Meta Objectives of Training*

The basic meta goal of all training is to either (1) establish or (2) activate patterns or programs (in the form of cognitive spaces) within the nervous system of the learner. This involves two fundamental processes:

1. Establishing and Widening Perceptual Maps
2. Activating and Connecting Reference Experiences to Perceptual Maps

*Unconscious* competence or latent competence comes from the establishment of reference experiences. Conscious competence comes from the ability to code one’s experiences. Coding is the establishment of a connection between a map, abstraction or label and personal reference experiences.

The development of both conscious and unconscious competence comes from the activation and refinement of personal experiences and behavior in the form of exercises and activities. NLP training involves three basic types of learning activities:

1. *Discovery activities* in which learners engage in an activity with minimally defined formal objectives, for the purpose of establishing behavioral reference experiences which are to serve as the intuitive basis for cognitive packages to come a later time in the program. Discovery exercises allow the learner to have spontaneous experiences untainted and uncontaminated by conscious expectations about what is “supposed” to happen. Discovery exercises promote the development of unconscious competence.
2. *Application activities* in which learners engage in activities with specifically defined objectives, evidence procedures and explicit process instructions for operations. Application activities promote the development of conscious competence with the skills defined by mixes of cognitive packages and other reference experiences.
3. *Assessment activities* in which learners engage in activities which presuppose the development of both conscious and unconscious competence with the target skills of the training program. Performance during assessment activities provides concrete feedback for both the instructor and the learner in relation to the types of skills internalized.

## **Roles During NLP Exercises and Activities**

All NLP trainings include exercises and activities in which people experience and apply the various distinctions, models and techniques of NLP. NLP has developed a set of distinctive roles which characterize almost every NLP exercise or activity. The most basic roles include:

### *Explorer*

- Access experiences and perform activities based on the guide's instructions—as long as they are appropriate and ecological.
- Associate into experiences, including remembered or imagined experiences, acting ‘as if’ they were occurring in the here and now.
- Be aware of your own subjective experience and behavior to varying degrees.
- Disassociate from reference experiences and talk about what was experienced, as if you were an observer.
- Provide feedback to the guide about (1) your own subjective state or experiences; (2) your subjective perception of the progress being made in relation to the defined task; and (3) your subjective experience of the effects of the guide’s actions on changes in your behavior or internal state.

### *Guide*

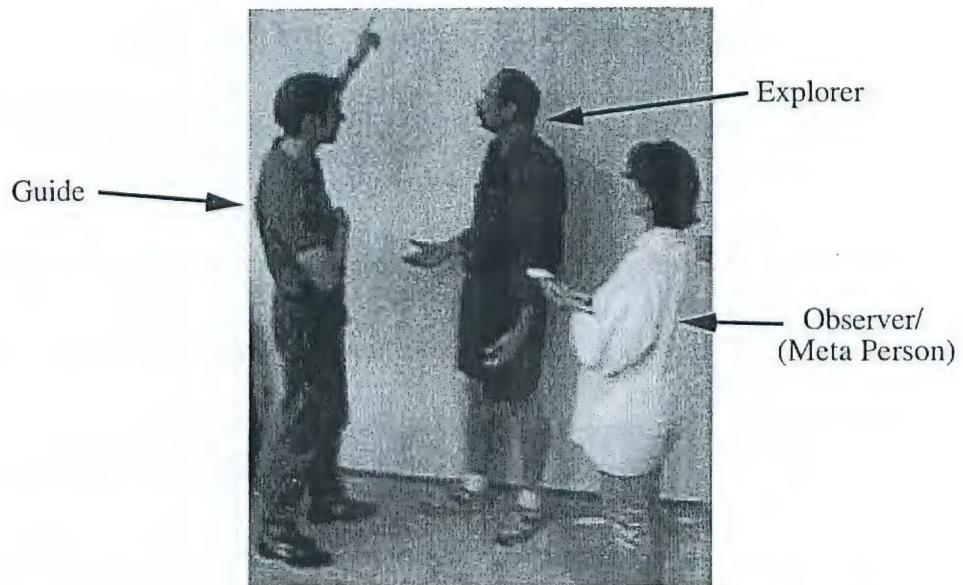
- Establish and maintain rapport with the explorer throughout the exercise or activity.
- Elicit experiences and responses from the explorer through verbal and non-verbal interactions.
- Assist the explorer to associate into or disassociate from reference experiences.
- Observe and calibrate the explorer’s verbal and non-verbal cues.
- Engage in ‘active listening’ by paraphrasing the explorer’s ongoing verbal descriptions in order to give feedback and verify your perceptions of the explorer’s subjective experience. At times, record the verbal responses of the explorer.
- ‘Backtrack’ events that have occurred during the exercise or activity by reviewing key elements of the explorer’s behavior and verbal reports that have occurred within the time frame of the entire exercise

### *Observer*

- Watch and listen to the explorer’s non-verbal and verbal cues during the exercise or activity.
- Backtrack key observations of the explorer’s behavior and report at defined points during the activity or exercise.
- Compare your own observations with the guide’s observations to create a ‘double description’.
- At times, record your observations in written form (i.e., notes, checklists, charts, etc.).

### *Meta Person*

- In addition to the tasks of the observer, watch and listen to the verbal and non-verbal behavior of the guide.
- Keep track of the progress of the task over time or activity, and provide feedback and information to both the guide and the explorer regarding your perception of what has influenced the direction of events.
- Be available to the guide or explorer during the activity or exercise to provide assistance, observation or feedback as requested by the guide or explorer.
- Provide feedback about your perceptions of the guide’s abilities and responsibilities as defined above



### Guide, Explorer and Observer/Meta Person Are Common Roles in NLP Exercises

NLPU activities may be either ‘Guide centered’ or ‘Explorer centered’. *Guide centered* activities focus on the development of the Guide’s abilities to follow the specific steps of a process or procedure. *Explorer centered* activities focus on helping the Explorer to reach a particular outcome, and may require flexibility with respect to the steps of a process or procedure. While all learning activities involve a balance of both, some exercises may be focused more on one or the other. If there is a question about the focus, you will be informed before the beginning of the exercise.

## The Nervous System

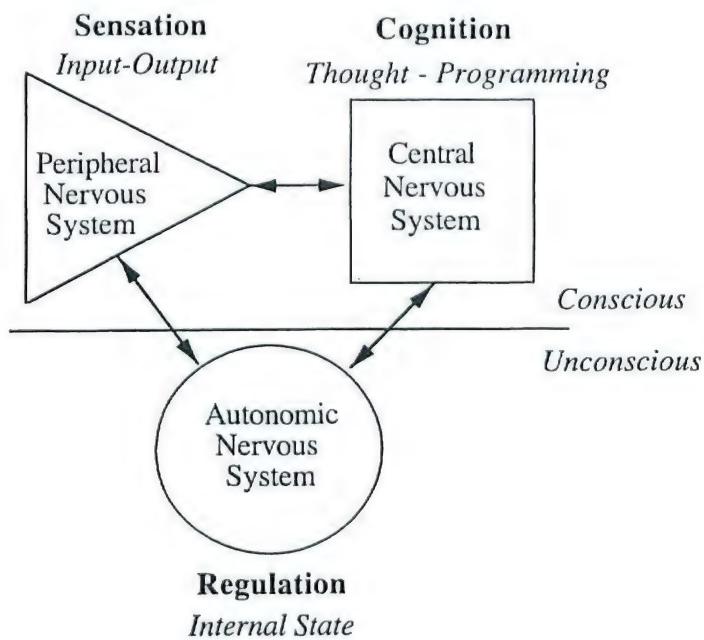
Higher organisms coordinate their behavior and organize their experience of the world through their nervous systems. In human beings, the nervous system may be viewed as consisting of three primary subsystems: 1) the Central Nervous System 2) the Peripheral Nervous System and 3) the Autonomic Nervous System.

The *Central Nervous System* is made up of the brain and spinal cord. It controls our muscles and movement and is associated with conscious thought and action.

The *Peripheral Nervous System* is made up of the branches of the spinal cord and the sense organs. It relays information about the environment from the organs, muscles and glands to the central nervous system and back again.

The *Autonomic Nervous System* deals with a network of nerves outside of the spinal cord that deals with many unconscious activities such as temperature regulation, circulation, salivation, the initiation of the “fight-flight” reaction and other emotional and attentional states.

The Central Nervous System executes mental programs, plans and strategies via the Peripheral Nervous System. The Autonomic Nervous System determines the state of the biological “hardware” within which those programs are carried out. While most people are consciously aware of their sensations, thoughts and actions, the functions of the Autonomic Nervous System generally take place outside of conscious awareness.



Whether it be talking, thinking, eating, understanding, working or sleeping; all human action and experiences are mediated and manifested through the interplay of these three parts of the nervous system. Learning is a function of the establishment of coherent patterns of organization and interaction within these three neurological subsystems.

## Attention

A key element of Systemic NLP and NLP New Coding has to do with attention. Our conscious attention is limited to 7 + or -2 chunks or pieces of information at any given time. As soon as our attention is focused on one place, large amounts of the world are being missed by the conscious mind. At times we can focus our attention so tightly on one thing that we miss other information. Luckily for us, our unconscious mind takes in the whole experience within our capacity to receive information. In processing this incoming information a process of deletion, distortion and generalization takes place.

**DELETION:** is the process where we selectively pay attention to certain portions of our experience while excluding other portions of that experience. This may be useful or not depending on its application – e.g. filtering out people’s voices in order to concentrate and “think”, or filtering out people’s voices and not hearing important messages and information.

**DISTORTION:** is the process which allows us to make shifts in our experience of sensory data. The ability to create or transform information. This process may be beneficial or not depending on its application – e.g. the ability to imagine possible future situations and act them out, or to transform incoming information into a work of art. This is quite different than the man who when hearing his wife express affection for him, replied that she must want something.

**GENERALIZATION:** is a process by which pieces of a person’s model of the world become detached from their original experience, and come to represent the entire category from which the experiences are an example. This ability can be useful or not depending on how it is applied – e.g. Generalizing that hot stoves are not to be touched is useful, but generalizing that hot stoves are dangerous and refusing to be in the same room is a limiting generalization. Generalizations may also be context specific – e.g. Making eye contact and speaking to people on the street may be great in a small country town, but not in New York City, or in a culture where eye contact carries a different meaning (a cultural filter). If a generalization seems bizarre or unusual, check the context in which it originated. Evaluate each generalization in context.

It has been said that “energy flows where attention goes.” Therefore, it is important to learn how we use our attention, noticing where we put it, where we lose it and how to recover it. For instance, if we focus our attention on someone’s necklace, missing other things, and then hallucinate about the person based on their necklace, we might not arrive at useful conclusions. So, where we focus our attention can effect the quality of the information we take in. While interacting with another person, you may want to ask yourself, “Am I seeing this person as directly as possible, or am I hallucinating (using filters) about them?” What happens when you shift your attention while interacting with someone? How does it drive your attention if you listen to the birds while interacting with that person? Does it make a difference? Is it more creative? What happens if you change from one sensory system to another?

For example, think of a difficult interaction and notice where your attention is fixed. Is your attention on a voice tone, a gesture, a facial expression, an internal sensation? Fixing your attention on some small aspect of the interaction could be driving you into a state from which you make value judgments that may make the interaction uncreative, difficult or problematic. Discover where you fix your attention, then move it to some other aspect of the interaction. Does the quality of the interaction change in a more positive direction?

Notice how you use your attention now. Where you are placing your attention at any moment in time? Notice when and how your current use of attention is useful and when it is not.

When looking at a system, sometimes it is useful to chunk it down into small pieces. At other times; it is important to look at the big picture. Along that continuum of possibilities we can begin to find where we are able to influence the system in a positive direction. Elegance lies in influencing the system in a positive way using the least amount of effort for yourself and others.

You can enhance the quality of your performance through the manipulation of your attention. You can shift between “First Attention” or “Consciousness”, and “Second Attention” or the “Unconscious Mind”; between internal focus of attention and external focus of attention; between modalities or representational systems; and between submodalities inside a representational system. You can also shift the location of your external focus – for instance, you can shift from attending to someone’s nose to their ears, or to the relationship between their lip movements and voice tonality. Moving your attention will have an effect on your state and the quality of your experiences and/or performance. Using Personal Editing formats and other NLP techniques you can choose the quality of your experience. The next step is to learn to sustain that choice, particularly in the face of challenge. With attention training you can choose the quality, location and duration of your attention.

Attention can be considered another name for “I.” The different states which can be achieved through the disciplined and skillful employment of attention constitute the range of human possibility. When thought of as attention, the notion of “I” is more of a “function” than a “thing.” The function of “I” operates to produce states ranging from the demon-like narrow-focused, sensory-based states of the race car driver to the sensory independent, future-oriented states of the corporate planner.

### *Attentional States*

Attentional states influence and reflect the way in which we are interacting with the world around us. The basic attentional states are *arousal* – attention to external input ('uptime'); and *activation* – readiness to respond. *Effort* coordinates activation and arousal, and results in voluntary control.

The processes of learning and performing involve the connection of sensations from the environment (arousal) with behavior response sets (activation). In the process of learning, you are not only responding to the external environment but also to the outcomes of your own actions – their reinforcing consequences. Thus you are balancing both arousal and activation. Each state of consciousness can evoke several modes of attention, each of which requires a particular configuration of the arousal, activation and effort systems.

### *Moving Attention*

You can move your attention around; find examples of having done this in your personal history. You can shift between first attention (conscious mind) and second attention (unconscious mind), between internal focus of attention and external focus of attention, between modalities or representational systems, and between submodalities inside a representational system. You can also shift the location of the external focus of your attention (from the nose to the ears, from the relationship between lip movements and voice tonality).

Moving your attention will have an effect on your state and the quality of your experiences and/or performance.

Some of the ways you can move attention include:

First attention to second, second to first attention  
External to internal focus, internal to external focus  
Representational system to representational system  
Submodality shifts – inside a representational system  
Location of external focus of attention  
Relationship between different focuses (movement of the mouth and pupil dilation)

The following drills will help you to discover how you are using your attention, and explore how to move it.

### **Drill 1: Find the Paper**

In pairs, persons A and B.

1. Person A places a piece of paper on the floor, closes his or her eyes, walks away. Person B turns person A around to interrupt person A's pattern, then person A turns around and returns to pick up the paper. Person B monitors, making sure person A does not bump into anything.
2. Person A repeats the exercise getting farther and farther away from the paper before retrieving it.
3. Persons A and B exchange roles.
4. Exchange feedback with the group. What strategies did you use as person A to find the paper?

### **Drill 2: Find the Paper Using a Specific Representational System**

In pairs, persons A and B.

1. Person A places a piece of paper on the floor, closes his or her eyes, walks away. Person B turns person A around to interrupt person A's pattern, then person A turns around and returns to pick up the paper. However this time person A uses, one at a time, a visual, auditory or kinesthetic system to find it. Person A tests his or her preferred strategy first. Person B monitors, making sure person A does not bump into anything.
2. Person A repeats the exercise in each system, using alternative strategies if necessary.
3. Persons A and B exchange roles.
4. Exchange feedback with the group.

### **Drill 3: Shifting Attention**

Practice shifting your attention between external and internal focus; between representational systems; inside a representational system / submodality; to a different location (eyes to ears, etc.); the relationship between two aspects of perception (e.g., between lip movements and the spaces between the words).

In pairs, persons A and B.

1. Person A accesses a choice point (context in which he or she would like to have a different focus of attention).
2. While person A is fully associated into his or her choice point, person B asks person A for information regarding person A's focus of attention within the choice point.
3. Person A disassociates from the choice point. Persons A and B discuss a possible different focus of attention regarding this particular choice point.
4. Person A asks person A to re-access choice point. Person A re-accesses his or her original choice point, with a shift in his or her focus of attention. Person B can remind person A if necessary.
5. Person A gives feedback regarding the difference he or she experienced from inside the experience. If person A does not sense a difference or if there is a minimal difference, repeat steps 2 through 4 above with a different shift of focus of attention.
6. Persons A and B exchange roles.
7. Exchange feedback with each other.

### **Drill 4: Blind Man Walk**

This drill is an attempt to answer Gregory Bateson's question, "Where is attention for the blind man? Is it in the hand holding the walking stick? Is it halfway down the stick? Is it at the end of the stick?"

In pairs, A plays first and B acts as a lifeline or safety line.

1. A uses a blindfold and stick and explores the world, with B baby-sitting.
2. A notices sensory experiences. How do you keep track or make sense of the world?
3. A and B exchange roles.
4. Exchange feedback with one another.

## Calibration

“Calibration” is the name given, in NLP, to the process of learning how to read another person’s responses in an ongoing interaction. Instead of prejudging or hallucinating about the internal responses of others, good communicators learn to read those responses in the ongoing situation.

For example, let’s say that a teacher has noticed that every time a learner talks about feeling “confused,” the learner furrows her eyebrows, tightens her shoulder muscles and clenches her teeth slightly. If at some time later the teacher observes these same cues as the learner is listening to a certain part of a lesson, the teacher would have evidence that the learner is experiencing the “confused” response and may respond appropriately to it.

Having the sensory awareness to make these kinds of observations is a critically important skill in all parts of communication. One way to sharpen your skills in this area is to practice reading another individual. For example, ask a friend or associate to think of something he or she has been really satisfied with. As your partner thinking of it, observe his or her facial expression, eye movements and postural changes. Then ask your partner to think of something that he or she has been dissatisfied with, and carefully observe again. You should be able to see some differences in your partner’s non-verbal responses to the two thoughts. Finally, ask your partner to think of one or the other of the two experiences but not to tell you which one it is. Then “read his or her mind” by seeing which set of cues you observe as your partner is thinking, and telling him or her which thought it is. You may be surprised at how accurate you can be.



Satisfied

Dissatisfied



Satisfied or Dissatisfied?

**Calibration has to do with Noticing and Recognizing Subtle Cues and Behavioral Expressions Associated with Different Thoughts and Internal States**

## “Calibration” Exercise

“Calibration” involves linking behavioral cues to internal cognitive and emotional responses. For example, find a partner and try the following exercise:

1. Ask your partner to think of some concept that your partner feels she or he knows and understands.
2. Observe your partner’s physiology closely (as if you were Sherlock Holmes for a moment). Watch your partner’s eye movements, facial expressions, hand movements, etc.
3. Then ask your partner to think of something that is confusing and unclear. Once again, watch your partner’s eyes and features carefully.
4. Notice what is different between the patterns of features.
5. Now ask your partner to pick either concept and think of it again.
6. Observe your partner’s features. You should see traces of one of the clusters of features associated with either understanding or confusion.
7. Make a guess and then check with your partner to find out if you were correct.
8. Have your partner think of other concepts that she or he understands or finds confusing and see if you can guess which category they fall into. Confirm your guess by checking with your partner.
9. Then explain some concept to your partner and determine whether your partner has understood it or is unclear or confused by observing his or her features. See if you can determine the moment the understanding occurs.

	State 1 “Confusion”	State 2 “Understanding”
Posture		
Eye Position		
Breathing		
Micro Movements		

**Calibration Worktable**

## Representational System Primacy

In NLP, a person is said to have a “primary representational system” when that person values or uses one of his or her senses over the others in order to process and organize his or her experience of the world. An individual’s ongoing experience is comprised of some combination of information from each of his or her senses or “representational systems.” Each person uses his or her auditory, visual, kinesthetic, olfactory and gustatory senses to create his or her model of the world. Due to the influence in the personal backgrounds of individuals and the environments in which they develop their representational systems, there is a tendency for many people to develop or value the information processing capabilities of one of their representational systems to a greater degree than others.

Auditorily oriented people are those who prefers their ears in perception and who depend on spoken words for information. Visually oriented people primarily use their eyes to contact the world around them, and emphasize visualization for memory and in decision making. Kinesthetically oriented people are sensitive to touch and emotions. They rely on feelings when learning and making decisions. Smell and taste are typically not primary senses; however, there are people, such as cooks, who have a highly developed sense of tastes or smells, such as cooks.

The phenomenon of representational system primacy was first noted by William James. In his classic work *The Principles of Psychology* (1890) James wrote:

*In some individuals the habitual “thought-stuff,” if one may so call it, is visual; in others it is auditory, articulatory, or motor: in most, perhaps, it is evenly mixed. . .*

*A person whose visual imagination is strong finds it hard to understand how those who are without the faculty can think at all. Some people undoubtedly have no visual images at all worthy of the name, and instead of seeing their breakfast-table [in their mind's eye when asked to describe it], they tell you that they remember it or know what was on it. This knowing and remembering takes place undoubtedly by means of verbal images. . .*

*The auditory type appears to be rarer than the visual. Persons of this type imagine what they think of in the language of sound. In order to remember a lesson they impress upon their mind, not the look of the page, but the sound of the words. They reason, as well as remember, by ear. In performing a mental addition they repeat verbally the names of the figures, and add as it were, the sounds, without any thought of the graphic signs. Imagination also takes the auditory form. . .*

*Touch-images are very strong in some people. The most vivid touch-images come when we ourselves barely escape local injury, or when we see another injured. . .*

*The motor type remains—perhaps the most interesting of all, and certainly the one of which least is known. Persons who belong to this type [les moteurs, in French, motiles, as Mr. Galton proposes to call them in English] make use, in memory, reasoning, and all their intellectual operations, of images derived from movement.*

From an NLP perspective, these are classic descriptions of visual, auditory and kinesthetic learners. Drawing from the studies of Galton, Charcot, Binet and his own research, James provided numerous examples and details about the traits, strengths and problems related to individuals who place more emphasis on particular modalities. NLP has built on James’ notion of habitual “thought stuff” by developing ways to recognize and utilize sensory differences in people’s thinking processes.

According to NLP, for instance, the representational system a person is using will be reflected in his or her choice of words. Sensory based predicates, which show up in phrases such as “I see what you are saying,” “That sounds good,” or “I need to get a better feeling for it,” indicate which sensory modality a person is relying on at a particular time.

### *Differences in Individual Orientation*

Individuals differ in their abilities to orient their senses in these ways. Some people are able to make acute external observations with one or more of their senses. Often one orientation is developed at the expense of another. For instance, someone may have a photographic memory (**V<sup>r</sup>**) but not be very imaginative (**V<sup>c</sup>**). Similarly, highly creative people are often notoriously forgetful when it comes to remembering details, appointments, etc. (Incidentally, these two abilities have been linked to the

different functions of the two sides of the brain.) Another common example is when someone develop their internal abilities to use their senses at the expense of their abilities to orient externally, and vice versa. This often why people think that someone cannot be a good student (which involves internal abilities) and a good athlete as well (which involves external seeing, hearing, and feeling).

The most general differences occur between which representational systems are (1) *most highly developed*, (2) *most highly valued*, and (3) *most conscious*. The *development* of a representational system is determined by the capability to manipulate, organize, synthesize and distinguish information (sub-modalities, orientation, etc.) within that system. How much a representational system is *valued* is determined by the impact it has on a person's behavior (the elements that determine the impact of a particular representational system will be explored more fully in a later section of this article). Some people, for example, have a very highly developed ability to use language, yet what they say has very little to do with how they act. *Consciousness* of a representational system is a function of how much a person is aware of the information being processed through that system. Someone may be very conscious of feelings but not be able to manipulate them very well – in fact, sometimes that is why they remain in consciousness so much. Likewise a person may have a very well developed ability to create and respond to visual imagery and yet have no conscious awareness of making internal images. It is possible for someone to have one representational system which is the most developed, most valued and most conscious. It is also possible that these functions might each involve a different sensory system. For example, a person could be most able to manipulate words and sounds, respond most often to feelings, yet be most consciously aware of what he or she sees.

In addition to determining aptitudes for certain tasks, the over or under-development of the orientation of a particular representational system forms the basis of many fundamental personality characteristics.

A person's primary representational system will determine many of his or her personality traits and learning capabilities. In a way, people of different representational preferences live in different worlds. A challenge often arises when people with differing primary representational systems attempt to communicate and understand one another.

If a particular representational system is valued or developed more than the others, it can be either an asset or a limitation, depending on the flexibility one has in approaching or developing the others. Nevertheless, the representational system that is most highly valued will always greatly affect the way that person perceives and acts upon the world.

A person's predominant representational system will usually come out most obviously when a person is in a state of stress.

Sometimes in NLP a distinction is made between a person's primary representational system, his or her "lead system," and his or her "reference system." A person's "lead system" is the sensory channel that individual relies upon to input or gather information. Information must be input into one's nervous system before it can be internally represented and processed. A person may prefer to input information visually, for instance, but process it, or operate on it, through language (through internal self talk, for example). Such a person would be said to have a visual "lead system," but an auditory "representational system."

A person's "reference system" is the sensory modality which that person relies upon to verify conclusions and make decisions. A good speller, for instance, may receive the word he or she is to spell verbally (i.e., an auditory "lead system"), and represent the correct spelling as internal mental image (a visual "representational system"), but identify the correct spelling on the basis of a feeling (a kinesthetic "reference system"). The good speller knows the correct spelling because it "feels right."

A person with a visual "reference system" will experience "insights" and "illuminations" about choices and decisions. People with an auditory reference system will often experience being guided by an inner voice, or experiencing a sense of resonance or harmony which helps them to make decisions.

A person who is strongly "visual," may have vision as his or her lead system, representational system and reference system. That is, the person gathers information visually, through his or her eyes, processes and represents it visually, through mental imagery, and evaluates the results visually as well, by getting "insights" about what to do. A similar type of clustering may happen for people who are strongly auditory or kinesthetically oriented.

Often, there is a difference between a person's lead system and primary representational system, allowing for more economical use of the sensory channels. A typical "rule of thumb" in NLP is that a person's lead system is reflected in his or her most habitual eye movement, while primary representational system is revealed by the person's language patterns.

NLP provides ways for people to extend and strengthen representational abilities through linguistic and behavioral methods. NLP tools and techniques apply James' observations to achieve practical results in areas such as communication, therapy, business, education, etc. The following exercise, to be done in a group, helps people to become aware of how they use and value different sensory modalities. (It is a good way to begin a seminar or training program.)

### **Discovery Exercise: Sensory Contact**

1. Look around at the group, then close your eyes and recall as many group members as you can. Notice how you represent the group members.

*Do you have an internal image of individuals? clusters of people?*

*Do you remember any names? voices?*

*Do you have a feeling or some kind of 'sense' of people?*

*How clear or vague are your memories? How far away are your images? Are they three-dimensional or flat like a photograph? Are your memory pictures life size?*

*How loud and clear is what you hear? Is it associated with a particular image?*

*What kind of feelings do you have. How intense are they?*

2. Silently walk around the room and look at as many members of the group as you can. It is not necessary to make eye contact, but you may if you wish.

Return to your seat and check your representation of the group using the same questions listed above. How has your sense of the group changed? In what ways?

3. Walk around the room and meet as many people as possible using the following procedure: Face each other and then close your eyes. Introduce yourself to the other person by telling them your name and where you are from. Keep your eyes closed during the introductions and listen as intently as you can to the other person. When you are done, open your eyes and find another partner.

Return to your seat and again check your representation of the group using the same questions listed above. Has your sense of the group changed? In what ways?

4. Silently walk around the room and meet as many people as possible using the following procedure: Face each other and make physical contact by shaking hands or by touching their arm or shoulder with your hand. Then, close your eyes for a few seconds and feel as much as you can about the contact. When you are done, open your eyes and find another partner.

Return to your seat and again check your representation of the group using the same questions listed above. Has your sense of the group changed? In what ways?

*Which kind of sensory contact did you find made the biggest difference for you? In what way?*

*Which kind of contact was most familiar?*

*Which of your senses do you think is your most highly developed?*

*Which of your senses do you most highly value or rely on?*

## **Learning Style**

A person's *learning style* results from the fact that people often develop habitual learning strategies which fit with their primary representational systems. That is, people with well developed visual abilities focus on visual learning strategies (and excel in areas where visualizing is important), individuals with well developed verbal skills rely more upon auditory learning strategies, people who are heavily in touch with their bodies and feelings develop more kinesthetic learning strategies, and so on.

*Visual* learners tend to learn by watching or reading. A person with an *auditory* learning style, on the other hand, would learn best through listening and discussion. *Kinesthetic* learners need to become physically involved in what they are learning. They like to move around and try things out.

Often, people struggle in school or classroom situations because their own particular learning style is not compatible with the traditional approach to teaching a particular subject, or is at odds with the teaching style of their teacher. Kinesthetic learners in particular frequently struggle with traditional classroom teaching methods, which emphasize visual and auditory information.

### **How do you learn best? Learning Style Assessment Questions**

*Circle the letter of the answer that best explains your preference. If a single answer does not match your perception, please circle two or more choices. Leave blank any question that does not apply.*

1. Recall a time in your life when you learned how to do something like playing a new board game.  
How did you learn best? By  
V) visual clues—pictures, diagrams, written instructions?  
A) listening to somebody explaining it?  
K) experimenting, trying it out?
2. You are having difficulty finding your way to your hotel in a city where you have stayed only a few days. Do you  
K) drive around and try to find a familiar landmark?  
A) ask directions?  
V) look at a map?
3. You need to learn to use a new program on a computer. Would you  
K) ask a friend to walk you through it?  
V) look at the manual that comes with the program?  
A) telephone a friend and ask questions about it?
4. You are not sure whether a word should be spelled "dependent" or "dependant." Do you  
V) picture the word in your mind and choose the one that looks right?  
A) sound it out in your mind?  
K) write both versions down and pick the one that feels right?
5. Do you prefer a lecturer/teacher who likes to use  
V) flow diagrams, handouts, slides?  
K) field trips, labs, practical sessions?  
A) discussion, guest speakers?
6. You have purchased an item that requires assembly. Would the easiest way for you to figure out how to put it together be to  
A) listen to a tape describing the steps you need to take?  
K) start putting it together and assemble it through trial and error?  
V) watch a video of it or read printed instructions?

7. You are taking care of a friend's house while he or she is on vacation. You need to quickly learn how to take care of your friend's yard and/or pets. Is it best for you to  
V) watch someone do it?  
A) get instructions and discuss it thoroughly?  
K) have someone walk you through it?
8. A person gives you a very important number (such as a phone number, code, or serial number) to remember. To be sure that will remember it, would you  
A) repeat it to yourself or someone else?  
V) make a mental picture of it?  
K) write or type it several times?
9. You have to make an oral presentation to a small group. Are you most comfortable that you will be able to make this presentation when you have  
A) a good sense of the basic tone and words you want to communicate?  
V) diagrams and notes that you can look at during the presentation?  
K) rehearsed the presentation a number of times?
10. Which of the following hobbies do you most enjoy?  
K) Walking outdoors/gardening/dancing  
V) Drawing/painting/sightseeing/photography  
A) Music/singing/storytelling
11. To acquire a new skill, do you most prefer to  
A) hear a description and ask questions?  
V) see diagrams and watch demonstrations?  
K) do exercises?
12. When you really want to teach something to others, do you  
V) create a picture for them?  
A) logically explain it to them?  
K) physically lead them through it?

## Applying the Results of the Learning Style Questionnaire

To determine your learning preference, add up the number of individual Vs, As, and Ks you have circled. Match the letter you have recorded most frequently to the same letter in the learning styles categories below. Each category contains suggestions that will refer you to different learning aids throughout this course.

### V)isual

*Visual* learners tend to learn by watching or reading.

#### *What to do in Class:*

Underline.

Use different colors.

Use symbols, charts, arrangements on paper.

Use lists, headings.

Visualize examples of course topics.

#### *What to do when studying:*

Read handouts and textbooks.

Use pictures and photos to illustrate key points and ideas.

Reconstruct images in different ways.

Redraw pages from memory.

Replace words with symbols and initials.

#### *What to do prior to and during exams:*

Recall the “pictures of the pages.”

Draw, use diagrams where appropriate.

Practice turning visuals back into words.

### A)uditory

A person with an *auditory* learning style would learn best through listening and discussion.

#### *What to do in Class:*

Attend lectures and tutorials.

Discuss topics with friends.

Explain new ideas to other people.

Use a tape recorder.

Describe overheads, pictures, and visuals to somebody not there.

Leave space in your notes for later recall.

#### *What to do when studying:*

Use lecture notes.

Rewrite ideas into other words.

Put summarized notes on tapes and listen.

Read summarized notes out loud.

Explain notes to another “auditory” person.

Organize diagrams into statements.

Use dictionaries and definitions.

#### *What to do prior to and during exams:*

Listen to your inner “voices” and write them down.

Speak your answers.

Practice writing answers to previous exam questions.

Practice with multiple choice questions.

## **K)inesthetic**

*Kinesthetic* learners need to become physically involved, moving around and trying things out.

*What to do in Class:*

- Use all your senses.
- Go to labs, take field trips.
- Use trial-and-error methods.
- Listen to real life examples.
- Use hands-on approach.

*What to do when studying:*

- Put examples in note summaries.
- Act out or “dance” key points and ideas.
- Talk about notes with another “kinesthetic” person.
- Write out words again and again.
- Write out lists.
- Write paragraphs, beginnings and endings.

*What to do prior to and during exams:*

- Write practice answers.
- Role-play the exam situation.

## Questions for Accessing and Assessing Representational Systems

Asking questions which presuppose the access and use of a specific sensory modality has been one of the key means of gathering information about the cognitive processes of another person since the beginning of NLP. This enables you to learn more about the cognitive strategies and abilities which that person applies in order to organize his or her experience of the world. These questions can also be used as a means to elicit, explore and determine patterns related to the various eye movements and other micro behavioral “accessing cues” associated with the use of particular sensory representational systems and functions.

As you ask each question, pay close attention to any micro behavioral cues (eye movements, breathing changes, slight facial expressions, postural adjustments, non-verbal vocal utterances, etc.) that might be associated with the access of the requested sensory information. These types of accessing cues will tell you a great deal about the individual, and about the strategies people go through in order to reaccess and process specific sensory information.

### 1. Accessing the *Visual* Representational System.

a. (Can you tell me, Do you know, what is) the color of \_\_\_\_\_?

Replace the blank with the name of some object.

e.g., the rug in your living room; your mother's eyes; the shirt you're wearing; the shirt you wore last Saturday; your car; your bedspread; your salt shaker; your room; your desk; etc.

b. Can you visualize \_\_\_\_\_?

Replace the blank with the name of an object.

e.g., the cover of a book you have recently read; an acquaintance; a face; a screwdriver; the inside of your closet; an animal, etc.

c. When was the last (first) time you saw \_\_\_\_\_?

Replace the blank with some external event or object.

e.g., a member of your family; a person running; a fire; an open window; a person they know; a tool; yourself; some place you've been; some type of movement; something bright; etc.

d. Put together the top half of \_\_\_\_\_ and the bottom half of \_\_\_\_\_.

Replace the blanks with objects from your experience or imagined objects. They may or may not be complementary.

e.g., a toy giraffe/a purple elephant; your mother/your father; the sun/the moon; a sofa/a cereal box; cartoon character/a redwood tree; a red book/a purple book; yourself ten years from now/yourself ten years ago; a green car/a pine cone; etc.

### 2. Accessing the *Auditory* Representational System

a. (Can you remember, Can you tell me about) the sound of \_\_\_\_\_?

Replace the blank with the name of some noise or an object which makes noise,

e.g., a chair scraping the floor, your (mother's, father's, friend's, teacher's, own) voice; a musical instrument (piano, guitar, piccolo, drum, sitar, etc.); a dog's bark, an elephant; your car's engine; water boiling; chalk on a blackboard; grease sputtering; rain on your roof; a song you know; etc.

b. Can you hear \_\_\_\_\_?

Replace the blank with some noise or an object that makes noise.

e.g., a clock ticking; an axe chopping wood; someone's voice; your television set; laughter; crying; belching; tearing; zipping; sighing; gulping; swallowing; breathing; clapping; etc

- c. When was the last (first) time you heard \_\_\_\_\_ ?  
 Replace the blank with some sound or object which generates sound.  
 e.g., the McDonald's jingle; a Christmas carol; a light switch click; a coffee pot perking; a book close; a scream; the sound of my voice; a strong breeze; waves breaking; scratching; knocking; whistling; wood burning; a musical instrument; tapping; etc.;
- d. Can you imagine the sound of \_\_\_\_\_ turning into \_\_\_\_\_ ?  
 Replace blanks with a pair of real or imagined sounds or objects which generate sound, which may or may not be complementary (the same logical type).  
 e.g., your mother's voice/a cat crying; laughing/(crying, clapping, a car starting, etc.); a saxophone/(scream; whistle; electric guitar, a buzz); a sick cow/pages turning; a drum/(someone beating on a pan, a heartbeat, a gentle breeze); water lapping the sides o a boat/a song that you know; a piece of classical music/a piece of rock music; etc.

### 3. Accessing the *Kinesthetic* Representational System

- a. Can you tell me what \_\_\_\_\_ feels like?  
 Replace blank with some internal (proprioceptive) or external (somatosensory) feeling or object.  
 e.g., the rug in your living room; a pine cone; a newspaper; love; tightness; velvet; fear; impatience; corduroy; sand; pride; a stomach ache; a sore throat; a knothole; a hot cooking utensil; fatigue; soft flesh; slime; lukewarm water; etc.
- b. Can you imagine feeling \_\_\_\_\_ ?  
 Replace the blank with an object or internally or externally perceptible sensation.  
 e.g., a dogs fur; sick; high; glass; sandstone; something (soft, rough, smooth, hot, painful); sticky; uncomfortable; cool; wrinkled paper; a cut; anxious; upset; a broom handle; soft butter; a button; a warm breeze; a (heavy, squirmy, hard, dying, grainy) object; hungry; ready to dance; plastic; etc.
- c. Can you remember the last time you felt \_\_\_\_\_ ?  
 Replace the blank with an object or internally or externally perceptible sensation.  
 e.g., warm; wet; someone touching your face; something crumbling in your hand; sick to your stomach; that your life was in danger; relaxed; satisfied; your left ear; snow; limp; an itch; tension; really motivated; like you knew everything; fooled; angry but not that angry; good about feeling bad; etc.
- d. Can you imagine the feeling of \_\_\_\_\_ turning into \_\_\_\_\_ ?  
 Replace the blanks with a pair of objects or internal or external sensations which may or may not be complimentary or of the same logical type.  
 e.g., warmth (in one of your hands)/cold; pressure/movement; anger/tranquility; energy/stillness; hardness/softness; an object in your hand/feelings of another's hand; a warm egg in your hand/(pressure, warmth, an ache) on your leg; being where you are/being in a similar/different place somewhere else; feeling good about being bored/feeling bad about it; velvet/sandpaper; writing/rubbing; etc.

### 4. Accessing the *Gustatory* and *Olfactory* Senses.

- a. When was the last time you smelled \_\_\_\_\_ ?  
 Replace the blank with some smell or odiferous object.  
 e.g., cinnamon; ammonia; the doctor's office; alcohol; something (rotten, putrid, sweet, tangy, strong; a rose; smoke; sweat; an orange; strawberry; apricot; (fresh, stale) air; perfume; the inside of someone's house; something nice; etc.
- b. Can you remember a time when you tasted \_\_\_\_\_ ?  
 Replace the blank with some taste or ingestible object.  
 e.g., coffee; some fruit; some desert; something (bitter, hot, bittersweet; tangy; dangerous); blood; something metallic; a carbonated drink; something salty; something greasy; etc.

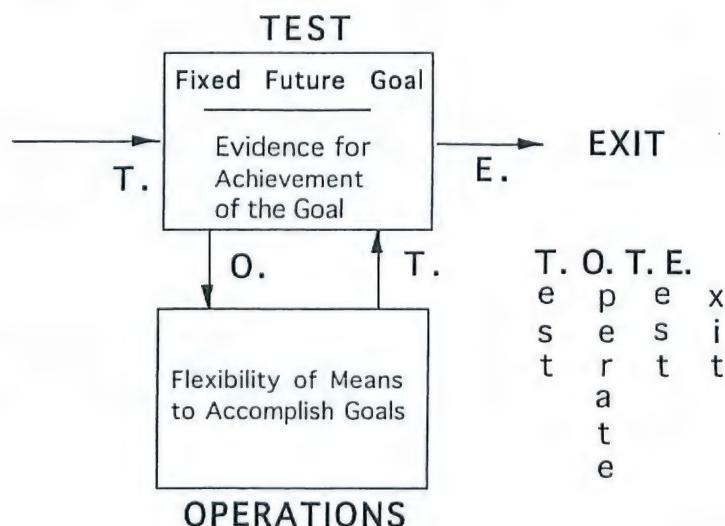
## The Fundamental Structure of Behavior: T.O.T.E. Model

*"The pursuance of future ends and the choice of means for their attainment are the mark and criterion of the presence of mentality in a phenomenon"*

William James – *Principles of Psychology*

A mental strategy is typically organized into a basic feedback loop called a T.O.T.E. (Miller, et al 1960). The letters T.O.T.E. stand for *Test-Operate-Test-Exit*. The T.O.T.E. concept maintains that all mental and behavioral programs revolve around having a *fixed goal* and a *variable means to achieve that goal*. This model indicates that, as we think, we set goals in our mind (consciously or unconsciously) and develop a TEST for when that goal has been achieved. If that goal is not achieved we OPERATE to change something or do something to get closer to our goal. When our TEST criteria have been satisfied we then EXIT on to the next step.

So the function of any particular part of a behavioral program could be to (T)est information from the senses in order to check progress towards the goal or to (O)perate to change some part of the ongoing experience so that it can satisfy the (T)est and (E)xit on to the next part of the program. For example, one TEST for creativity might be that an idea is “unique”. If the concept you have come up with is not unique enough you will OPERATE or go through a procedure to make the idea more unique or to come up with a better concept.



According to the T.O.T.E. model, effective performance comes from having:

1. Have a fixed future goal.
2. Have the sensory evidence necessary to accurately determine your progress toward the goal.
3. Have a variable set of means to get to your goal and the behavioral flexibility to implement these choices.

*What are your learning goals for this course?*

*What will be your evidence that you are achieving these learning goals (how will you know)?*

*What personal learning capabilities and resources do you have to help you achieve your goals?*

## **Discovery Exercise: Exploring Representational Systems**

Roles: Explorer, Guide & Observer.

1. Guide interacts with the Explorer to review and elaborate the Explorer's answers to the T.O.T.E. questions on the previous page by filling in the answers to the following questions.

For each question, the Guide is to ask the question and then paraphrases the Explorers response.

Before asking the next question, the Guide is to backtrack the key elements of the Explorer's responses to the previous questions.

*What are your learning goals for this course?*

*How do you represent your goals? As imagery? Words? Feelings? A combination?*

*What will be your evidence that you are achieving these goals?*

*Which sensory modalities will you use to assess your evidence? Seeing? Hearing? Feeling? A combination?*

*What personal learning capabilities and resources do you have to help you achieve your goals?*

*What kinds of imagery? Words? Feelings? Synesthesia? Analogies or metaphors?*

*If you encounter any unexpected difficulties or challenges how would you like to respond to them?*

*What beliefs and values do you have in relationship to learning?*

*What did you learn from this process?*

## **T.O.T.E. Modeling Questionnaire**

According to the T.O.T.E. Model, in order to have the minimum information about how someone performs, we must identify:

- 1) the person's goals for the performance.
- 2) the evidence used by the person to determine progress toward the goal.
- 3) the sets of choices used by the person to get to the goal and the specific behaviors and cognitive process used to implement these choices.
- 4) the way the person responds if the goal is not initially achieved.

Identify an experience in which you performed effectively and answer the following questions.

1. In what context did the performance take place?

2. What were the goals or objectives that guided your actions in this context? (List them in short sentences or key words.)

3. What did you use as evidence to know you were accomplishing those goals?

4. What did you do to achieve your goals – what were some specific (physical and cognitive) steps and activities that you used to achieve your goals in this context?

5. When you experienced unexpected problems or difficulties in achieving your goals in this context what specific activities or steps did you take to correct them?

## Mirroring

In NLP, ‘mirroring’ is the process of reflecting or feeding back physical patterns of behavior of another person. Examples of mirroring include sitting in a similar posture as another person, using the same gestures as that person, or speaking in a similar tone and tempo of voice. Mirroring is one of the fundamental forms of ‘pacing’, and often leads to the development of profound rapport with the individual being mirrored.



### **Mirroring Involves Matching the Physical Patterns of Another Person**

Mirroring also has the effect of helping to build a stronger “second position” with someone else, and is useful for modeling another person and developing intuitions about the person’s internal experience. To get a sense of the influence and effects of mirroring, try out the following exercises.

#### *Mirroring Exercise*

1. Choose a partner, or person to converse with. Do not tell the person initially that you will be mirroring him or her during the conversation.
2. Enter into a conversation with the person, asking for his or her opinions about various subjects.
3. As you are conversing, begin to subtly mirror the other person’s physiology (including voice tone and tempo). [Hint: This can be most easily done in the context of ‘active listening’; that is, reflecting back statements the person has made, by commenting, “So what you are saying is. . . .”, and then stating your understanding of the person’s opinion.]
4. When you are fully mirroring, you will be sitting in the same posture, using the same types of gestures, speaking at a similar speed and volume, and in a similar voice tone range, as the other person. If you are completely mirroring the other person, you will even be breathing at the same rate and in the same part of the chest cavity as the other. Notice what it feels like when you have reached this level of rapport.
5. One way to test your degree of rapport is by “second guessing” the other person’s opinion on a couple of subjects that you have not yet discussed. Often mirroring will give you access to information that is being unconsciously communicated and received, and you will “pick up” information about the other person without being consciously aware of how you got it. This is why mirroring is such a powerful tool for modeling.
6. To get another sense of the influence of mirroring on your interaction, you can try out what it is like to abruptly mismatch the other person in posture, gestures, voice tone and breathing. Both you and your partner should experience quite a jolt if you do this, and feel as if your quality of rapport has changed dramatically.
7. Before concluding your conversation and letting your partner in on what you were doing, make sure you have reestablished rapport by once again physically mirroring your partner.

## Pacing and Leading

If you have ever watched people communicating, you have probably noticed that, at times, they tend to imitate each other. When people interact and begin to establish rapport with one another, frequently there's a matching of certain behaviors that starts to occur. They will begin to sit in a similar posture, speak at a similar rate and in a similar tone, and even take on similar gestures. This is related to a process called "pacing" in NLP. If you watch people carefully, you will notice that when two individuals are really in rapport with each other, they do a lot of mirroring of each others' behaviors. This is a basic principle of communication that can be used as a tool to help lead people more effectively.

*Pacing* is the process of using and feeding back key verbal and non-verbal cues from the other person, in order to match his or her model of the world. It involves having the flexibility to pick up and incorporate other people's vocabulary and behavior into one's own vocabulary and actions. The process is important to many of the essential aspects of effective communication, (such as rapport and trust building). When you are pacing, you are trying to step into another person's shoes and experience their model of the world. When pacing, you want to communicate with people in their own language and through their own way of thinking.

For instance, one way to develop rapport is by listening to the kinds of language patterns a person uses and then doing a type of "active listening" by matching some of their words. So if somebody says, "*I feel* that we need to go more deeply into this," you might say, "Yes, I understand that you have a *feeling* that we need to explore this."

Of course, it is easier to 'pace' people you already know and with whom you already have rapport. It's like a meta message acknowledging your rapport in that case. But in situations involving people with whom you are not familiar, it might be difficult; and it might even be disrespectful. On the other hand, it can be a very effective way of encouraging rapport with people with whom you are unfamiliar. One suggestion in that situation would be to do it in stages so that you pace one element at a time. You might begin by matching the other person's voice tone and then respectfully adding body posture, gestures, etc.

*Leading* involves the attempt to get another person to change, add to or enrich his or her behavior & thinking process by subtly shifting one's own verbal and behavioral patterns in the desired direction. The basic idea of pacing and leading is to incrementally introduce somebody to changes in their behavior or world view by first matching and acknowledging, and then widening their model of the world. For instance, when people are being introduced to something new, it is best to start with something familiar and then move to something new.

Most people think of leadership as being primarily associated with 'leading'. But often the most effective leaders are those who can first understand and respect other people's models of the world, and have the flexibility to incorporate those other world views into their own visions. In other words, effective leadership requires effective 'pachership'.

A good example of the power of pacing before leading comes from a sales seminar for a telemarketing group. There was one customer that no one had been able to sell to. It turned out this person talked very s...l...o...w...l...y. However, he was the president of a big company that could become a very important customer. People would call him and say, "Hello, sir, I know you're a very busy man if I could just take a minute of your time," speaking at about twice his speed.

But that isn't the way that person thinks, or listens. As a way to improve his communication skills, a member of the group was instructed to call this man up and say, "Hello... (very slowly)... I'm from xxx company... and I'd really like to have some time... to talk with you.... when you really have some time... to think about our products... I know it's really important for you... to take your time and think about things... Could you tell me when we could call...." and so on. Instead of saying, "I'll only take a minute." You say, "When could I call you back when you would have enough time to think about this comfortably and thoroughly?" The company president felt so comfortable with the approach that he scheduled a meeting, and the telemarketing group ended up getting the account.

As this example illustrates, one of the most important outcomes of pacing is the establishment of rapport. When people know you can think as they do and can take their world view into account, they are much less resistant to new ideas.

There are a lot of ways of pacing someone. In addition to matching voice tone and tempo, you can match key words and physical posture. One way to pace someone at a very deep level is to speak at the rate which the other person is breathing. You speak in tempo with their breathing rate.

This can even help in dealing with problem people. For example, once during a presentation on communication skills I was giving, a man stood up and said, "All this stuff you are saying about communication seems too easy. I'm in the REAL WORLD. These theories are only for seminars. I just don't feel that it will work with MY clients." So I said, "You certainly have a legitimate concern. Why don't you come up and be a demonstration subject? You pretend that you're one of your difficult clients in the real world, and we'll try to get a hold of how this might put you more in touch with them."

So he came up and started "role playing." The first thing I did was to subtly put myself into a similar body posture. He said, "Well, I'm a busy man. I have to see a hundred people like you every day. Most of them are full of crap and end up wasting my time. Let's hurry up and get through this." As I responded to him I began to match my speech to the man's breathing, and said, "It sounds to me... like you want someone... you feel you can trust... Someone who cares.... about what you need... and will support you... Think of somebody you have really trusted... in your life... and how you felt... That's the kind of relationship... I'd like to develop with you." I continued pacing his breathing, and finally after about three minutes of this the man stopped him and said, "You know, I was going to try to be as resistant as I could, but right now I'd buy anything from you."

This example illustrates the value of using simple but subtle non-verbal cues to help establish rapport and to pace and lead another person's state so that they are more open to 'receiving' your messages.

### *Rapport*

One of the most important relational skills is the ability to establish rapport. The quality of performance you can draw out of others will be greatly influenced by the amount of rapport you have with them. People generally experience more rapport with people who share a similar model of the world.

Matching language patterns is one way of acknowledging someone else's model of the world. Identifying and incorporating key words, micro metaphors and examples commonly used by a particular individual or group is another way of sharing their maps of the world and attaining rapport.

Pacing or subtly mirroring their non-verbal communication can also greatly enhance their experience of rapport because they will perceive you as being "like them". Some ways to non-verbally pace or mirror people include putting yourself into a similar body posture, using similar intonation patterns and expressions, dressing similarly, etc. This is a powerful form of putting oneself 'into the shoes' of another person.

## Interactive Skills

Interactive skill relates the ability to systematically elicit and react to changing patterns in the environment and the behavioral responses of others. In general, interactive skill involves the interplay between one's own actions and their results in relation to the observable actions of the other individual(s) involved in the situation.

	Actions	Results
Self		
Other		

**Basic Matrix for Interactive Skills**

Interactive skills are typically either more 'proactive' or 'reactive' in nature. A proactive interaction is one in which the learner initiates the first action. In a reactive interaction, the learner responds to actions initiated by other individuals or elements in the environment. Some interactive processes, of course, involve sequences or mixes of proactivity and reactivity.

Interactive skills of NLP include 'backtracking', 'pacing and leading' and 'anchoring'.

### **Some Discovery Exercises for Exploring Basic Interactive NLP Skills**

Roles: A = Explorer B=Guide C=Observer – (A leaves the room during the instructions.)

#### *Pacing and Leading During Calibration*

1. **B** is to ask **A** to think of someone **A** really finds 'exciting and interesting' and someone **A** finds 'boring' and to calibrate the differences in **A**'s physiology.
2. **B** is then to continue questioning **A** about the two people while mirroring the physiology **A** assumes while talking about them. This is most easily done by **B** continually 'backtracking' each of **A**'s comments (i.e., 'active listening').
3. **B** is then to lead **A** into thinking of one or the other the people during the guessing part of the exercise by leading **A** into the physiology she or he associates with that person while asking, "Randomly choose one or the other of two and think of that person now."

#### *Non-Verbal Rapport*

1. **B** is to ask **A** to think of someone **A** really has 'good rapport with' and someone **A** finds 'difficult to relate to', and to calibrate the differences in **A**'s physiology.
2. **B** enters into a conversation with **A**, asking for **A**'s opinions about various subjects.
3. While **B** is conversing he or she is to begin to match **A**'s physiology using the B.A.G.E.L. distinctions as a guide (including voice tone and tempo). This is most easily done in the context of continual 'backtracking' or 'active listening'.
4. When **B** is fully "mirroring" **A**, **B** can check the degree of rapport by leading – that is, **B** changes some minute element of **B**'s own physiology and notices if **A** follows.
5. When **B** is convinced that there is sufficient rapport established, **B** is to verbally disagree with one of **A**'s opinions but continue to match physiology. (**C** is to calibrate whether **A** is in rapport or having difficulty relating to **B**).
6. **B** is then to physically mismatch **A**, but verbally agree with one of **A**'s opinions. (**C** is to calibrate whether **A** is in rapport or having difficulty relating to **B**).
7. **B** concludes by once again physically matching **A** and calibrating for rapport.

### *Crossover Mirroring*

1. **B** enters into a conversation with **A**. **B** is to find something that is ongoing and repetitive in **A**'s behavior (such as breathing rate).
2. **B** is to 'mirror' or pace the repetitive behavior with some other behavioral pattern – i.e. **B** paces **A**'s breathing by nodding his or her head in rhythm with **A**'s breathing rate. (This is most easily done in the context of 'backtracking' or 'active listening'.)
3. **B** tests 'rapport' by incrementally shifting the "crossover" behavior and noticing if **A**'s repetitive behavior shifts in a corresponding manner.

### *Verbal Pacing of Representational Systems*

1. **B** is to ask **A** to think of something **A** is very congruent about and something **A** is not totally congruent about, and to calibrate the differences in **A**'s physiology.
2. **B** is then ask **A** about something important to **A**. **B** keeps questioning **A** about the subject until **A** makes a response that indicates a particular representational system. (This is most easily done in the context of 'backtracking' or 'active listening'.)
3. Instead of 'backtracking' **B** is to paraphrase **A**'s statement switching representational system predicates and check for congruence/incongruence.  
e.g. Statement: "I get satisfaction from my work when I *feel* I've helped someone get in *touch* with their own creativity."  
Paraphrase #1: "So you get satisfaction from *seeing* yourself as a person who *shows* others their own creative abilities."  
Paraphrase #2: "It's satisfying to you when people *tell* you you've been a *sounding board* for their own creativity?"

### *Shaping*

1. **B** enters into a conversation with **A**. **B** 'shapes' **A** by subtly 'reinforcing' some aspect of **A**'s behavior with a non-verbal 'meta-message' (e.g. facial expression, voice tone, etc.)
2. **C** tries to detect which of **A**'s behavior is being shaped and what reinforcing cue **B** is using.

## Goals

Webster's Dictionary defines a *goal* as "the end toward which effort or ambition is directed," or "a condition or state to be brought about through a course of action." A goal, then, is essentially a person's or group's desired state or outcome. It is the answer to the question, "What do you want?" Goals are the source of motivation, and can stimulate powerful self-organizing processes that mobilize both conscious and unconscious resources.

Goals are a fundamental feature of all NLP techniques, strategies and interventions. They constitute the target and the central focus of all of the activity associated with any particular intervention or strategy. It has been said that "if you do not want anything, then NLP is of no value to you."

Because of their significance, it is important that people are able to establish appropriate and meaningful goals. The following are some common strategies for defining goals.

### Strategies for Defining Goals

Goals are most often established *in relation to* a present state or problem state. For example, a person may have a problem state involving a "*fear of public speaking*." The simplest (although often the most problematic) form of goal setting is to define the goal as the *negation of the Problem State*. If the problem state involves the "*fear of public speaking*," a person may initially define his or her goal as, "*I want to stop being afraid of talking in front of a group*."

While this is certainly a common way to identify goals, and can be a good starting point, the problem with this strategy is that it does not actually answer the question "What do you want?" It is a statement of what the person does *not* want, and thus is no real goal at all. In fact, negative statements such as this often focus people more on the problem state than the desired state (i.e., your goal is to not think of a blue elephant for the next thirty seconds).

A second common goal setting strategy is to define the goal as the *polarity or opposite of the problem state*. In the case of "*fear of public speaking*," the person may say, "*I want to be confident while talking in front of a group*." Again, this is a logical strategy, and certainly helps the person to focus somewhere other than the problem situation; but it can also create inner polarities and conflict. It sets up a constant reference and comparison to the problem state. In the words of Albert Einstein, "*You cannot solve a problem with the same level of thinking that is creating the problem*." A polarity is defined at the same level of thinking as its' opposite.

A third goal setting process involves using an external reference or model as a means to define the desired state. In organizational planning and development, this is often referred to as "*benchmarking*." In the example of public speaking, a person might do this by saying, "*I want to talk to a group like Martin Luther King would*." This has certain advantages over simple negation and polarizing. It provides a concrete reference for comparison and helps direct attention away from the problem state. It can also, of course, lead people to build inappropriate expectations, or create the types of incongruence and insincerity that comes from imitation. This can bring out negative comparisons and a sense of failure. There is also the ecological danger of applying a behavior that is appropriate in one context to contexts in which it does not fit.

Another strategy for defining goals involves using rules and principles to define the structure of the desired state. With respect to public speaking, this might involve something like reasoning, "*I want to embody the qualities of mastery when I am talking to a group: such as, flexibility, congruence, integrity, etc...*" This is essentially a deductive approach. It involves manifesting abstract principles within concrete situations. While it opens the door to more flexibility of action and expression, it is also more challenging intellectually, and is more subject to deletions, distortions and generalization than some of the other strategies.

A fifth strategy involves establishing a "*generative*" outcome. Rather than being defined with respect to a problem state or according to external or abstract references, a generative outcome involves extending existing resourceful qualities. Generative goals are statements of what one wants "*more of*," and are characterized by the word "*more*." For example, in a public speaking situation, a person may say, "*I want to be more balanced and creative*." While there are many advantages to generative outcomes, they presuppose that a person is able to identify the appropriate positive qualities, which can sometimes be difficult when the person is struggling with the problem state.

This brings up a final goal setting strategy, that of acting "*as if*" one had already reached the desired state. It is more difficult to define goals while one is still associated in the problem state. In fact, that is often part of the problem itself; when one is stuck in the problem state, it is much harder to

be creative and think of alternatives. With the “as if” strategy, one removes oneself from the problem state and moves in time to the desired state by imagining what it would be like if one had already reached his or her desired state. In relation to public speaking, a person might say, “*If I had already reached my desired state, I would be relaxed and comfortable in front of people right now.*”

All of the different strategies for defining goals have their advantages and their difficulties or challenges. In fact, in some ways it is best to use all of them as part of the process of defining goals. Taken together, they form a powerful sequence for exploring and building achievable goals from a number of perspectives. To explore each of them, try the following exercise with a problem that you are currently working with.

*Identify your problem state.*

*What is the problem state you want to change?*

My problem is that I \_\_\_\_\_.

*Define your goal using each of the goal setting strategies:*

1. Negating the problem state. *What do you want to stop or avoid?*

I want to stop \_\_\_\_\_.

2. Identifying the polarity of the problem state. *What is the opposite of the problem state?*

I want to \_\_\_\_\_ instead.

3. Defining the desired state with respect to an external reference. *Who else is already able to achieve a desired state similar to the one you want?*

I want to act or be like \_\_\_\_\_.

4. Using principles to deductively define the structure of the desired state. *What are some important characteristics (embodied by the role model that you selected in your previous answer) that you would like to manifest in the desired state?*

I want to embody the characteristics of \_\_\_\_\_.

5. Establishing a “generative” outcome – Extending existing resourceful qualities. *What qualities, associated with your desired state, do you already have that you need or would like to have more of?*

I want to be more \_\_\_\_\_.

6. Acting “as if.” *If you had already reached your desired state, what would you be doing, or doing more of?*

If I had already reached my desired state I would be \_\_\_\_\_.

Once you have defined a goal, it is important to check it to be sure that it is “well-formed.” NLP has established a number of “well-formedness conditions” for outcomes, which help to insure that goals are realistic, motivating and achievable.

## Well-Formedness Conditions for Outcomes

Well-formedness conditions are the set of conditions an outcome must satisfy in order to produce an effective and ecological result. In NLP, a particular goal is considered “well-formed” if it can be:

- 1) stated in positive terms.
- 2) defined and evaluated according to sensory based evidence.
- 3) initiated and maintained by the person or group who desires the goal.
- 4) made to preserve the positive by-products of the present state.
- 5) appropriately contextualized to fit the ecology of the surrounding system.

In summary, an outcome is considered “well-formed” when it has met the following conditions:

1. *The outcome must be stated in positive terms.* In NLP, we believe that it is practically and logically impossible to give someone the negation of an experience. Thus if a client says, “I want to not feel so anxious anymore,” or, “I don’t want to be so critical of myself,” or, “I want to be less upset at my children,” the practitioner’s first task is to find out what the client, in fact, does want in place of the negative experience. The practitioner might ask, for example, “If you weren’t anxious, what would you be feeling instead?” or, “What would you like to be doing to yourself in place of being critical?” or, “What would things be like if you were able to be less upset with your children?” It is in general much easier to design a way for a client to operate toward a positive outcome than away from a negative one.
2. *The outcome must be testable and demonstrable in sensory experience.* The only way in which setting an outcome is going to be useful to anyone is if you are explicitly able to perceive and evaluate progress towards it, as you attempt to achieve it. Identifying and defining a demonstration of the desired state is as beneficial to the practitioner as it is to the client. It will give the therapist a explicit reference to evaluate his own progress, as well as the client’s. The practitioner will minimally want to establish two sets of criteria, or tests, for the client’s outcome: a) one set for the ongoing therapeutic context; and b) one set for the client to use outside the office. For example, the therapist may ask, “What will be a demonstration to your and me, here, today, that you can achieve the outcome(s) that you want for yourself?” and “what will be a demonstration to your that you have achieved (or are achieving) your outcome(s) with your spouse (children, family, boss, or others)?” The practitioner then has an explicit way of knowing when he has been successful with the client.
3. *The desired state must be initiated and maintained by the client..* One of the major goals of NLP is to put the locus of control, with respect to achieving the outcome, with the client. Thus, if a woman comes in and states, “I want my husband to stop ignoring me,” her statement does not satisfy any of the criteria listed so far for a well-formed outcome. In this case the practitioner would want to first ask “What would your husband be doing if he weren’t ignoring you?” (getting a positive statement of the outcome). Here, the therapist would want to get a sensory-based description of how the husband would be paying attention to the wife in her model of the world. Some satisfactory answers might be, “He would talk to me more about the children,” “He would hold me and touch me more often,” “He would notice and comment on how I look more often.” The practitioner would then want to put the control of the outcome in the client’s hands by asking, “What could you do (have you done, are you doing) to get your husband to want to talk to you, (touch you, notice you) more often?” The practitioner would then want to help the client install the appropriate flexibility of behavior to achieve the outcome. To insure that the behavior is appropriate, the practitioner would also ask, “What will be a demonstration to you and me that you have the resources you need to get your husband to pay attention to you in the way(s) that you’ve specified?”
4. *The desired state must preserve any positive by-products of the present state.* The positive by-products of unwanted behaviors are best illustrated in what are referred to as habits (smoking, overeating, heavy drinking, etc.) Many smokers, for instance, smoke to calm themselves down when they are nervous. A surprising number of smokers smoke to remind themselves, and compel

themselves, to breathe deeply. If a smoker quits, and no substitute or alternative has been installed by which the smoker may relax and remember to breathe deeply, he will experience a great amount of difficulty and discomfort. When the positive by-product is not explicitly accounted for in the desired state, people will often find substitute behaviors that become just as problematic. For example, people may take to overeating or drinking, instead of smoking, when they are nervous, or some other form of symptom substitution. Many people who are overweight unconsciously feel that if they lost weight and became more attractive, they would not have the resources to say "no" if they were approached by a member of the opposite sex. If the desired state does not include adequate resources to insulate against such possibilities, the client may lose weight and his marriage at the same time.

An important aspect of this well-formedness condition is considering possible future impacts of the outcome, in order to prevent the opening of a "Pandora's box." Many outcomes, even though they preserve the positive by-product of the present state, lead to situations and behaviors that may be both unexpected and unwanted. Consider the case of the schizophrenic girl who was removed from the family and 'cured'. Six months after the girl's re-integration into the family, however, the girl's father, who had "desperately wanted, and supported," his daughter's treatment, had, for all intents and purposes, become an alcoholic. In interdependent systems, the repercussions of any desired outcome should be explored in detail so they may be prepared for and handled appropriately. The practitioner will want to know what the client, as well as the client's system, will stand to lose, as well as gain, upon the achievement of any outcome. Sometimes the shockwave through a system that results from a change in one member's behavior may create an outcome that is more problematic than the initial presenting problem.

5. *The outcome must be appropriately contextualized and ecologically sound.* Many times people state their outcomes in the form of absolutes or "universal quantifiers." In such cases, it is implied that the outcome is wanted in all contexts and for all circumstances, when in actuality the unwanted behavior may be quite useful and appropriate in some situations, and conversely, the desired behavior may be inappropriate and problematic in other situations. Therefore, if someone says, "I want to stop yelling at my children," the practitioner would want to ask, "Are there any times in which yelling at your children would be appropriate?" or, "Are there any times when you would *want* to yell at your children?" Likewise, if someone says, "I want to feel better about punishing my children," the practitioner would want to ask, "Are there any situations or conditions in which you wouldn't want to feel good about punishing your children?" Here the practitioner is specifying the appropriate boundaries and limits for desired and undesirable outcomes. The goal of NLP is not to take away responses or behaviors or to simply substitute one behavior for another, but to *give the client more choices*. To insure that the choices available to the client are going to be the best ones, the practitioner will often have to contextualize desired outcomes to specific times, persons, places, activities, and so on.

## **WELL-FORMED OUTCOME SHEET**

Guide: \_\_\_\_\_ Role Player: \_\_\_\_\_

**1. Outcome** (Stated in Positive Terms)

**2. Sensory Evidence**—Observable Behavioral Demonstration of the Outcome  
a. Ongoing (Short term)

b. Final (Long term)

**3. Contexts**

a. Contexts in Which the Outcome is Wanted:

b. Contexts in Which the Outcome is Not Wanted:

**4. Positive ‘By-Products’ to be Preserved (Positive Intentions and Secondary Gains of the Problem State)**

**5. Short Summary of Possible NLP Intervention and Expected Results:**

## Meta Model

The Meta Model (Bandler & Grinder, 1975) was initially developed by linguistic modelers John Grinder and Richard Bandler as a means of identifying and responding to problematic patterns in the speech of people in the therapeutic environment. It consists of a series of categories identifying various areas of verbal communication that are susceptible to considerable ambiguity and which may create limitations, confusion or miscommunication. It also provides a question or set of questions for each category that may be used to help specify, enrich or clarify verbal ambiguities and challenge or transform potential limitations. The identification of Meta Model patterns and the application of the corresponding questions is not confined to therapy, however, and can provide substantial insight into the structure of thought and speech when applied to any type of problem solving.

The basic principle behind the Meta Model is Korzybski's notion that "the map is not the territory." That is, the models we make of the world around us with our brains and our language are not the world itself but representations of it. The Meta Model maintains that our mental and verbal representations are subject to three basic problem areas: generalization, deletion and distortion. As Grinder and Bandler describe it:

*The most pervasive paradox of the human condition which we see is that the processes which allow us to survive, grow, change, and experience joy are the same processes which allow us to maintain an impoverished model of the world – our ability to manipulate symbols, that is, to create models. So the processes which allow us to accomplish the most extraordinary and unique human activities are the same processes which block our further growth if we commit the error of mistaking the model of the world for reality.*

*We can identify three general mechanisms by which we do this: Generalization, Deletion, and Distortion.*

*Generalization is the process by which elements or pieces of a person's model become detached from their original experience and come to represent the entire category of which the experience is an example. Our ability to generalize is essential to coping with the world...The same process of generalization may lead a human being to establish a rule such as "Don't express any feelings."*

*Deletion is a process by which we selectively pay attention to certain dimensions of our experience and exclude others. Take, for example, the ability that people have to filter out or exclude all other sound in a room full of people talking in order to listen to one particular person's voice...Deletion reduces the world to proportions which we feel capable of handling. The reduction may be useful in some contexts and yet be the source of pain for us in others.*

*Distortion is the process which allows us to make shifts in our experience of sensory data. Fantasy, for example, allows us to prepare for experiences which we may have before they occur...It is the process which has made possible all the artistic creations which we as humans have produced...Similarly, all the great novels, all the revolutionary discoveries of the sciences involve the ability to distort and misrepresent present reality.*

In language these processes occur during the translation of *deep structure* (the mental images, sounds, feelings and other sensory representations that are stored in our nervous systems) to *surface structure* (the words, signs and symbols we choose to describe or represent our primary sensory experience).

The function of the Meta Model is to identify problematic generalizations, deletions or distortions through the analysis of the 'syntax' or form of the surface structure and provide an inquiry system so that a more enriched representation of the deep structure may be attained.

### *Natural Groupings of Meta-Model Patterns*

In their first book, *The Structure of Magic Vol. I* (Science and Behavior Books, 1975), Bandler and Grinder define 12 basic 'syntactic' categories that represent common problem areas in verbal descriptions and communication. The various patterns are clustered into three areas: 1) information gathering, 2) setting and identifying limits and 3) semantic 'ill-formedness'.

The language patterns grouped under 'information gathering' essentially involve those relating to the recovery of missing links and key details regarding a verbal description or communication.

The verbal categories defined under 'setting and identifying limits' have to do with words relating to where people place (or assume) boundaries and limitations on either their own behavior or the actions of others.

The patterns clustered under the heading ‘semantic ill-formedness’ have to do with the processes by which people judge and give meaning to behaviors and events.

## 1. Information Gathering

- a. DELETIONS—In many statements a person, object or relationship that can enrich or even change the meaning of the statement, is left out or deleted from the verbal surface structure. For example, in the statement, “We need to increase our defense spending for purposes of international protection,” a number of things have been deleted from the surface structure: Defense spending on what, specifically? Protection of whom, specifically, by whom, specifically? Increase our defense spending with what, specifically? What, specifically, is the relationship between “defense spending” and “international protection?” Locating deletions in surface structure can often identify areas that have not been adequately defined, even in the deep structure of the individual or group who made the statement.
- b. UNSPECIFIED REFERENTIAL INDEX—In many statements the referential index (the person, people or objects to which the statement refers) is left unspecified or unclear. For example, in the statement, “*Those Iranians* have no respect for life,” the specific Iranians to which the statement is referring, have been left unspecified. In this type of distortion, the behavior of a few may become confused with the behavior of an entire group or culture. This has the tendency to de-humanize the group to which the statement is referring in the model of the speaker or listener. Some other examples of unspecified referential index could include statements like: “*People* are basically self-centered.”; “*They* are responsible for the problems in the Middle East.”; “*Capitalists* are only concerned with money.”; “*The Communists* are out to take control of the world.”
- c. UNSPECIFIED VERBS—A specific mode of action is not always implied by the verb used in a statement. For example, the statement, “We need MX missiles to *keep peace* in Europe,” fails to specify just how, specifically, the missiles will keep peace. Making sure a specific mode of action has been defined before a decision is made can be of critical importance.
- d. NOMINALIZATIONS—This is where an activity or ongoing condition or relationship (such as a verb or an adverb) is represented as an object or noun. Saying that, “We are fighting for *truth, justice* and *freedom*,” for instance, is much more ambiguous than saying, “We are fighting for money.” Money is a specific object that may easily be seen, felt and heard by any individual. “Truth,” “justice” and “freedom” are actually words representing evaluations and relationships that may be experienced very differently by different individuals. Typically a nominalization is an unspecified verb that has been further distorted by being used as a noun. The typical way to deal with a nominalization is to put it back into verb form and recover the deletions. For example, “Who is being truthful to whom about what, specifically, and in what way?” “Who is treating whom unjustly, under what conditions and in what way?” “Who is being free to do what, specifically, with whom specifically?”

## 2. Setting and Identifying Limits

- a. UNIVERSAL QUANTIFIERS—Typically characterized by words like “all, every, never, always, only, everyone, everything, etc.,” universal quantifiers over generalize behaviors or relationships observed in a few cases to characterize all such cases. The statement, “The Russians will *never* accept an arms limitation pact.” exemplifies such a generalization. Some other examples include: “Building a strong army is the *only* way to prevent nuclear war.” “The Japanese are *always* just ripping off U.S. technology.” Such statements are typically challenged by finding counter examples to the claim made by the statement.
- b. MODAL OPERATORS—Modal Operators are words like “should, shouldn’t, must, can’t, is necessary, impossible, etc.,” where a statement is defining a limit by asserting a claim about what is possible, not possible, necessary, or unnecessary. For example, the statement, “You *can’t* communicate to the Chinese through any means but force,” is a statement about a limitation that may or may not be accurate. A typical way to challenge modal operators is to ask

questions like: “What stops you?” “What would happen if you could (or did)?” “What would you need in order to be able to?” Too often modal operators are simply assumed and accepted as existing limits. Some other examples include: “We *shouldn’t* waste our time trying to colonize space.” “We *must* maintain the honor of our nation even if we *must* die in the process.”

### 3. Semantic Ill-Formedness

- a. COMPLEX EQUIVALENCE—Perhaps more accurately defined as “simplistic equivalence,” this type of violation occurs when two experiences become so closely tied together that they become equivalent in the surface structure of the speaker. For example, in the statement, “Automobile sales decreased again last month, our economy must really be a disaster,” the speaker is implying that “decrease in automobile sales” = “economic disaster.” Yet the two may not necessarily be equivalent. A more direct statement of a complex equivalences would be “Safety means having force to destroy your enemies.” Here the implication is that “safety” and the ability to “destroy your enemies” are equivalent. It is often important to challenge such equivalences by asking, “How, specifically, do you know that?”
- b. PRESUPPOSITIONS—Presuppositions occur when an assumption must be helped to be true in order to understand the surface structure. To understand the statement, “When the Russians stop trying to sabotage our peace efforts, we’ll be able to negotiate,” you must assume that the Russians already are, in fact, trying to sabotage peace efforts. Similarly the statement, “Since you leave us no alternative, we must fight,” presupposes that no alternative, in fact, exists. As with complex equivalences, presuppositions are often challenged by asking, “How, specifically do you know that?”
- c. CAUSE-EFFECT—These are statements where a cause-and-effect relationship is either explicitly or implicitly implied between two experiences. Again, such a relationship may or may not be accurate. In the statement, “Acting swiftly and forcibly will *make* them respect us,” it is not clear just how, specifically, the action will make the people respect the speaker. It may just easily cause the opposite effect. Likewise in the statement, “If we don’t stand firm on this position they will *make* fools out of us,” one might ask “How, specifically, will they make us into fools?” Or if someone were to say, “The government needs nuclear weapons to *make* our country safe,” one may ask, “How, specifically, will nuclear weapons **MAKE** us safe?”
- d. MIND-READING—In these statements the speaker claims to know what another individual or group feels, means or thinks. In the statement, “The Russians want to see an end to our way of life,” the speaker is claiming to know the internal experience of a group of people—to “read their minds” so to speak. This may be more of an interpretation than a statement of actual fact. To say that, “Nixon acted out of fear in order to save his ego,” would be a similar type of mind reading. To qualify the validity of the statement, one will typically want to ask, “How, specifically do you know that?”
- e. LOST PERFORMATIVE—Evaluative words such as “right, wrong, good, bad, just, etc.,” tend to become disassociated from the actions and reasons that established their value in the first place. Such words can often become more dogmatic or ambiguous than useful. The individual begins to confuse his own representations of the world with the world itself. The response to a lost performative would be to ask “According to whom?” or “Bad according to what criteria” or “Best compared with what?”

It is evident that more than one of these categories may be applied to a specific word or group of words at the same time. One word may present several areas of ambiguity. Likewise, any particular statement will often contain more than one violation.

The table on the following page summarizes the basic Meta Model patterns and the corresponding questions to ask in order to explore the deeper structures that may lie beneath them. In reflecting over the various patterns of the Meta Model, it is evident that more than one of these categories may be applied to a specific word or group of words at the same time. Some words may even present several areas of ambiguity. Likewise, any particular statement will often contain more than one Meta Model pattern.

## META MODEL II

META MODEL PATTERN	RESPONSE	DIRECTION
INFORMATION GATHERING		
SIMPLE DELETION Key element left out of surface structure. eg. "I am confused."	"Confused about what, specifically?"	Recover missing element in the problem state.
COMPARITIVE DELETION Referent implied by a comparison is left out of surface structure. eg. "It is better not say anything." (more/less, worse/best, most/least)	"Better than what, specifically?"	Identify and specify criterion of comparison.
UNSPECIFIED REFERENTIAL INDEX Noun or object is not specified. eg. "People just don't learn." (they, it, them, man, NLPers, etc.)	"Which people, specifically?"	Clarify to whom the statement is referring.
UNSPECIFIED VERBS Details of action or relationship is undefined. eg. "I have difficulty communicating in words"	"How, specifically do you have difficulty communicating?"	Define problem state activity or relationship.
NOMINALIZATIONS Action or process is referred to as if it were an object or thing. eg. "I broke off the relationship."	"Who specifically is relating to whom about what and in what way?"	Putting the activity, which has been distorted into an object, back into a process statement.
LIMITS TO THE INDIVIDUAL'S MODEL OF THE WORLD		
MODAL OPERATORS OF NECESSITY AND POSSIBILITY Statements identifying rules or limits to behavior. NECESSITY (should, need, must, have to, necessary) eg. "Men shouldn't show emotions." POSSIBILITY (can't, impossible, won't) eg. "I can't learn this material."	"What would happen if they did?"  "What stops you?"	Identify the consequence responsible for the rule or boundary.  Identify the cause of the problem state symptoms.
PRESUPPOSITIONS Something implicitly required in order to understand a statement. eg. "If he knew how much I suffered he wouldn't keep acting that way."	"How do you know that he doesn't know?" "How are you suffering?" "How is he acting?"	Challenge and clarify the processes and relationships presupposed in the statement.
UNIVERSAL QUANTIFIERS A broad generalization. (always, never, all, every, no one) eg. "She is always critical of me."	"Always? Has there ever been a time when she hasn't been critical?"	Identify counter-examples to the limiting generalization.
SEMANTIC ILL-FORMEDNESS		
CAUSE-EFFECT An implied causal link between a particular stimulus and a response. (make, cause, force, compel) eg. "Her tone of voice made me angry."	"How, specifically, does it make you angry?"	Identify the causal links presupposed in the statement.
MIND READING Claiming to know someone's internal experience. eg. "He doesn't care about me."	"How do you know he doesn't care about you?"	Identify criteria used to make assumptions about the other person's internal state.
COMPLEX EQUIVALENCE When two different experiences are stated as meaning the same thing. eg. "He's doing poorly in school... he has a learning problem."	"How, specifically, does his doing poorly in school mean that he has a learning problem?" "If you did poorly in school would it mean that you had a learning problem?"	Checking the validity of the relationship implied by the complex equivalence.
LOST PERFORMATIVES A statement of a value judgment that omits who performed the judgment and how it was made. eg. "It's selfish to think of your own feelings."	"Selfish according to whom?"	Identify the source and the criteria used to make the judgment.

## 'Meta Modeling' Self Analysis Exercise – Example

The following exercise provides a method through which one may consciously apply the Meta Model patterns as a tool for self analysis and exploration.

On line (1) write down a sentence describing a problem, outcome or situation you would like to analyze or explore. Look over the words in the description and circle, highlight or mark the key words in some way. Using the table provided earlier, identify to which Meta Model category each key word belongs. You may use the abbreviations provided below to mark the category to which a particular key word or phrase belongs.

UV=Unspecified Verb  
N=Nominalization  
D=Deletion  
CE=Cause—Effect  
MR=Mind Reading

CD=Comparative Deletion  
UN=Unspecified Noun  
MO=Modal Operator  
UQ=Universal Quantifier  
LP=Lost Performative

Write down the appropriate corresponding 'meta model' question for each marked word on the line just below the sentence. Intuitively choose which question is the most important to explore and write your answer on the next numbered line. Repeat the process for each new sentence until you have filled in each line. An example is provided on the next page.

UV                    CD  
1. Issue: I would like to express myself more easily.

Questions: *Express myself how specifically? More easily than whom or what specifically?*

UV                    UN                    UN  
2. Communicate my ideas to other people.

Questions: *Communicate how specifically? Which ideas specifically? Which other people specifically?*

UV                    UN                    MO  
3. Write them down in an article or book like I know I could.

Questions: *Write how specifically? Which article or book specifically? What stops you?*

CD                    UV                    UV  
4. I get too self critical and become blocked.

Questions: *Too critical compared to whom or what? Critical how specifically? Blocked how specifically?*

UV                    N                    LP                    CD  
5. I begin to think that my work is not good enough.

Questions: *Think how specifically? You working on what in what way? Good enough for whom? Good according to whom and what criteria? Good enough compared to what?*

6. Hear negative comments in my mind about what I am writing.

## 'Meta Modeling' Self Analysis Exercise

Now try it for yourself. On line (1) on the next page write down a sentence describing a problem, outcome or situation you would like to analyze or explore. Look over the words in the description and circle, highlight or mark the key words in some way. Using the table provided earlier, identify to which Meta Model category each key word belongs. You may use the abbreviations provided below to mark the category to which a particular key word or phrase belongs.

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Write down the appropriate corresponding ‘meta model’ question for each marked word on the line just below the sentence. Intuitively choose which question is the most important to explore and write your answer on the next numbered line. Repeat the process for each new sentence until you have filled in each line.

1. Issue: \_\_\_\_\_

Questions: \_\_\_\_\_

2. \_\_\_\_\_

Questions: \_\_\_\_\_

3. \_\_\_\_\_

Questions: \_\_\_\_\_

4. \_\_\_\_\_

Questions: \_\_\_\_\_

5. \_\_\_\_\_

Questions: \_\_\_\_\_

6. \_\_\_\_\_

It is important to keep in mind that the goal of the Meta Model is not to find the ‘right’ answers, but rather to ask better questions —to widen our map of the world more so than to find the ‘right map of the world’. The purpose of the Meta Model inquiry system is to help identify missing links, unconscious assumptions and reference experiences that make up the ‘deeper structure’ of our conscious models of the world. By doing so, we are able to use language as a means to promote the natural process of “associative correction” that Freud believed was the source of healing. Thus, the Meta Model questioning process is open ended—it is an investigation that can lead to many insights and discoveries.

## Meta Model Skill Development Exercises

**UV**=Unspecified Verb  
**LP** =Lost Performative  
**UQ** =Universal Quantifier  
**LRI**=Lack of Referential Index

**D**=Deletion

**MR**=Mind Reading  
**N** =Nominalization  
**CE**=Cause and Effect  
**MO**=Modal Operator

On the following pages are groups of three sentences. Each sentence incorporates one or more Meta Model patterns. Your instructions are to: 1) Use the code at the top of the page to identify **all** the Meta Model patterns in each sentence and write the code for the pattern *above* the appropriate word or phrase; 2) For each statement write the meta model question that **you** would ask; 3) Identify the Meta Model distinction that is common in all three sentences and write it in the space labeled "Common Meta Model Pattern"; 4) Construct two sentences of your own demonstrating the common pattern.

### *Group #1*

- 1) **Communication is an essential part of existence.**

Question: \_\_\_\_\_

- 2) **It's wrong to lie under any circumstances.**

Question: \_\_\_\_\_

- 3) **Good children should be seen and not heard.**

Question: \_\_\_\_\_

**Common Meta Model Pattern:** \_\_\_\_\_

### **YOUR SENTENCES**

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### *Group #2*

- 1) **They have no visible means of support.**

Question: \_\_\_\_\_

- 2) **Some people are effective communicators.**

Question: \_\_\_\_\_

- 3) **Someone told me that they have completed it.**

Question: \_\_\_\_\_

**Common Meta Model Pattern:** \_\_\_\_\_

### **YOUR SENTENCES**

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**UV**=Unspecified Verb  
**LP** =Lost Performative  
**UQ** =Universal Quantifier  
**LRI**=Lack of Referential Index

**D**=Deletion

**MR**=Mind Reading  
**N** =Nominalization  
**CE**=Cause and Effect  
**MO**=Modal Operator

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*Group #3*

- 1) **It's necessary for everyone to set explicit goals.**

Question: \_\_\_\_\_

- 2) **I have to take care of my parents.**

Question: \_\_\_\_\_

- 3) **You need to think carefully before you answer this question.**

Question: \_\_\_\_\_

**Common Meta Model Pattern:** \_\_\_\_\_

**YOUR SENTENCES**

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*Group #4*

- 3) **My new relationship is getting better.**

Question: \_\_\_\_\_

- 4) **I have all the freedom I need.**

Question: \_\_\_\_\_

- 5) **Your communication skills are improving.**

Question: \_\_\_\_\_

**Common Meta Model Pattern:** \_\_\_\_\_

**YOUR SENTENCES**

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**UV**=Unspecified Verb  
**LP** =Lost Performative  
**UQ** =Universal Quantifier  
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**D**=Deletion

**MR**=Mind Reading  
**N** =Nominalization  
**CE**=Cause and Effect  
**MO**=Modal Operator

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*Group #5*

- 1) **Things always take longer than you expect.**

Question: \_\_\_\_\_

- 3) **Nobody pays attention to the structure of language.**

Question: \_\_\_\_\_

- 4) **They never include me in the group discussions.**

Question: \_\_\_\_\_

**Common Meta Model Pattern:** \_\_\_\_\_

**YOUR SENTENCES**

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*Group #6*

- 1) **She is running my life.**

Question: \_\_\_\_\_

- 2) **They don't understand my feelings.**

Question: \_\_\_\_\_

- 3) **I am trying to do the best I can.**

Question: \_\_\_\_\_

**Common Meta Model Pattern:** \_\_\_\_\_

**YOUR SENTENCES**

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## **Meta Model II**

Meta Model II is a ‘second generation’ application of the Meta Model. In NLP, Meta Model I refers to the specific set of language patterns and questions as defined in *The Structure of Magic Volume I*. While the book provides a very rigorous and detailed model of key language patterns, it offers little specific guidance in how these patterns can be used in actual interactions and coaching or consulting sessions.

Meta Model II is what is known as the “directionalized Meta Model.” Meta Model II essentially involves placing the basic Meta Model patterns and questions into the goal oriented feedback loop defined by the T.O.T.E.. In the Meta Model II, the Meta Model patterns and questions become an *operation* in the T.O.T.E., whose purpose is to achieve a particular goal or result, typically related to defining a well-formed outcome. The Precision Model, which uses an Outcome frame, “As If” frame, and Backtrack frame, is an example of a Meta Model II application.

The following exercise is another example of the Meta Model II. It involves applying the Meta Model patterns and questions inside of the T.O.T.E framework, using the Outcome Well-Formedness conditions as the “Test” in the T.O.T.E.

### **Meta Model II T.O.T.E. Exercise**

Form a group of three: an explorer, a guide and a coach.

1. The explorer chooses a project or context in which he or she would like to apply NLP, and gives the guide a brief verbal description.
2. The guide draws a picture (sketch, metaphorical or symbolic diagram) of his or her own representation of the explorer’s verbal description.
3. The guide and coach consider the five NLP Outcome Well-Formedness Conditions:
  - 1) The outcome is stated in positive terms.
  - 2) The outcome can be initiated and maintained by the explorer.
  - 3) The outcome is testable in sensory experience.
  - 4) The outcome preserves any positive intentions or by-products of the present state.
  - 5) The outcome is appropriately contextualized and ecologically sound.
4. The guide then determines what he or she would like to know more in order to insure that the explorer’s outcome is “well-formed,” and provides the following information to the coach:
  - a. Goal – The specific information the guide wants to know.
  - b. Operation – The question the guide intends to ask, and which Meta Model pattern that question addresses.
  - c. Evidence – What would change in terms of the guide’s drawing that would indicate an adequate answer to the question.

Goal?	
Evidence?	
Question?	

5. The guide then asks the question, identified above, to the explorer, and the explorer gives a brief verbal response.
6. The guide attempts to add to his or her picture based upon the explorer's verbal response.
7. The coach and guide examine the additions to the drawing, and consult as to whether the goal and evidence defined by the guide have been achieved. If not, the guide asks another question to try to achieve the same goal.
8. Once the goal has been accomplished, the guide is to repeat the process, choosing a new piece of information.

## States

In NLP, the notions of “State” or “State of Mind” refer to a gestalt of the neurological processes (mind and body) within an individual at any given time. A state is comprised of the ongoing mental and physical conditions from which a person is acting. An individual’s state filters or affects the final result or interpretation of his or her experience. Thus, a person’s state exerts an enormous influence on his or her current ‘world view’.

We are constantly changing and accessing different states as we move through the different experiences and contexts of our lives. For most of us, these state changes have remained largely outside of our ability to choose. We respond to stimuli (anchors) both internal and external to ourselves as though we were on “automatic pilot.”

It is possible, however, to learn how to choose one’s state. Being able to influence and direct one’s state increases an individual’s flexibility and creates a higher probability of achieving desired outcomes. The ability to recognize useful states and intentionally access such states in particular situations gives us more choice about how we will experience and react to those situations. In NLP, the terms ‘state selection’ and ‘state management’ refer to the ability to choose and achieve the most appropriate state for a given situation or challenge. One goal of NLP is to help people to create a “library” of useful or resourceful states.

### *Types of Internal States*

One of the main focuses of NLP is on identifying, using, and changing patterns in the thought processes and physiology that influence people’s behavior as a means of improving the quality and effectiveness of their performance. The basic premise of NLP is that the human brain functions similarly to a computer – by executing “programs” or mental strategies that are composed of ordered sequences of instructions or internal representations. Certain programs or strategies function better for accomplishing certain tasks than others, and it is the strategy that an individual uses that will to a great extent determine whether his performance is one of mediocrity or excellence.

The efficacy and ease with which a particular mental program is carried out is to a large degree determined by the physiological state of the individual. Clearly, if a computer has a bad chip or power surges in its electrical supply its programs will not be able to execute effectively. The same is true for the human brain. The level of arousal, receptivity, stress, etc., of the individual will determine how effectively he can carry out his own mental programs. Heart rate, breathing rate, body posture, blood pressure, muscle tension, reaction time and galvanic skin response are examples of physical measures that effect and accompany changes in overall physiological state. NLP uses these measures to identify model and train physiological states of excellence in individuals so that these states may be purposefully reproduced and used to achieve optimal performance.

Thus, an individual’s internal state has important influences on his or her ability perform in any situation. Internal state is the mechanism of learning that most involves the autonomic nervous system of the learner. We can divide the kinds of states that our nervous system can produce into three basic types: Attentional States, Emotional States, and States of Consciousness.

### *Attentional States*

Attentional states influence and reflect the way in which we are interacting with the world around us. The basic attentional states are *arousal*, a phasic short-lived and reflex response to input, and *activation*, a tonic long-lasting and involuntary readiness to respond. *Effort* coordinates activation and arousal and results in voluntary control.

**Arousal** results when an input is surprising, complex or novel. Habituation (the return to baseline) of the arousal response from familiarity is due to the establishment of a neural model of the event. However, certain familiar stimuli, such as one’s name, produce facilitation and not habituation, suggesting that a higher level override is involved – perhaps from activity stimulated in the Central Nervous System.

**Activation** involves maintaining a set to continue ongoing behavior, such as waiting for a traffic light to turn green. Stimuli not relevant to that behavior set are screened out. A surgeon operating on a patient, for instance, will not be distracted by traffic sounds. During activation, arousal is suppressed and there is a tonic heart rate deceleration. ‘Vigilance’ comes into play in order to overcome habituation in situations where the maintenance of a set is no longer automatic. Again, this override is

probably stimulated by activity in the Central Nervous System.

**Effort** is defined as ‘an expenditure of energy (metabolic output) due to a change of state in central control systems’. Effort is a measure of the rate of changing the state of a system (or maintaining a state in the face of external changes). Effort in attention might come as someone attempts to solve a complex math problem, learn a new language or put incoming information into a group of unfamiliar categories.

The processes of learning and performing involve the connection of sensations from the environment (arousal) with behavior response sets (activation). In the process of learning, you are not only responding to the external environment but also to the outcomes of your own actions – i.e., their reinforcing consequences. Thus, you are balancing both arousal and activation. This process requires more complexly structured neuronal models than the passive response to simple inputs. In other words, it takes more effort to form a habit in a situation than habituate to the same situation.

Each state of consciousness can evoke several modes of attention, each of which requires a particular configuration of the arousal, activation and effort systems. The patterns of activity of the autonomic nervous system change in response to these configurations. For example, when a person looks or listens to external events, heart rate slows and skin resistance decreases. However, when a person attempts to solve a difficult problem, heart rate accelerates rapidly while skin resistance still decreases.

### *Emotional States*

Emotional states derive from the meaning we give to our experiences and perceptions. While there is a wide variety of emotional experience, the basic emotional states revolve around *stress* and *relaxation*.

**Stress** is associated with a high degree of sympathetic arousal, drawing the body into varying degrees of the ‘fight-flight’ reaction. Stress is characterized by emotions such as fear, anxiety and anger.

**Relaxation** is accompanied by parasympathetic activity, which puts the body into a condition of ease and rest. Relaxation is characterized by emotions such as contentment, inner peace and confidence.

In the last decade there has been a growing body of knowledge about how states of stress or relaxation effect our health as well as our ability to learn and perform. Phobias and anxieties have long been treated with systematic desensitization procedures involving biofeedback and cognitive methods. Illnesses of the cardiovascular system such as hypertension, heart disease, strokes, etc. have been strongly linked to chronic stress and the emotions which produce it. In recent years the field of *psychoneuroimmunology* has demonstrated that the central nervous system can create both positive and negative effects on the immune system through its influence on the Autonomic Nervous System and the endocrine system.

Learning to be more in touch with your attentional and emotional states is one of the most important and effective things you can do to improve your quality of life.

Psychophysiolists who have attempted to correlate specific emotions with specific physiological responses have found the human system too complex for such a classification. Some autonomic organs are stimulated in a sympathetic direction and some in a parasympathetic direction with fear or excitement. We all have our own model of the world, and our experience of our emotions tends to be idiosyncratic and personal.

In summary, *attentional states* refer to the **process** of awareness as opposed to *emotional states* which tend to be more indicative of the **content** of awareness. Attentional states tend to be more indicative of cognitive activity. Emotional states are typically associated with feeling. Obviously, our ongoing experience is a constant (but rule governed) kaleidoscope of different sequences and configurations of attentional and emotional states.

### *States of Consciousness*

States of consciousness relate to the constellation of perceptual filters which determine what a person is consciously aware of. States of consciousness relate more to specific cognitive processes than do attentional or emotional states. According to NLP, a state of consciousness is determined by the individual’s typical cognitive style (whether the individual typically pays attention to visual, auditory, tactile kinesthetic or visceral kinesthetic sensations) and whether the focus of attention is on the

portions of experience generated internal sensations or external stimuli.

From an NLP perspective, for instance, altered states of consciousness are “altered” with respect to a person’s normal mental state. For a highly visual person, for instance, having strong feelings would be an altered state of awareness. For a verbally oriented individual, on the other hand, seeing clear and colorful visual imagery would constitute an altered state.

Some common “states of consciousness” defined by NLP include “uptime,” in which a person’s conscious attention is entirely directed toward the external environment, and “downtime,” in which conscious awareness is directed completely inward. “V-K Dissociation,” in which a person is completely disconnected from emotional feelings and other kinesthetic sensations, is another example of a state of consciousness.

States of consciousness greatly influence our attentional and emotional states by acting as a filter of the contents of our awareness. Entering a dissociated state in which one only sees an experience as if it were a movie or video, for example, will dramatically influence the attentional and emotional aspects of the state (i.e., the degree of arousal, effort, stress, etc.).

Specific states of consciousness often allow people to perform special mental or physical feats. Wolfgang Amadeus Mozart, for example, wrote about a dreamlike state in which he was able to see, feel, and even taste the music he was composing. Surgeons sometimes describe entering a state of consciousness in which they develop a type of tunnel vision, deleting all other sensory input around them, when doing a difficult or complex operation. Many athletes talk about a state in which everything around them seems to move in slow motion during peak performances.

Altering practically any sensory characteristic will begin to create shifts in a person’s state of consciousness. NLP provides a variety of tools, techniques and skills for selecting and managing specific states of attention and consciousness; including: Anchoring, Submodality techniques, Somatic Syntax, and the use of Accessing Cues and other Micro Behavioral Cues. Mental rehearsal techniques, such as the New Behavior Generator, the “As If” Frame and Future Pacing can also be used to select and achieve desired internal states in particular situations and interactions.

## Sensory Inventory

Before beginning any endeavor it is useful to check on our available resources so that we are aware of what may be of benefit to the task at hand. In terms of our functioning, we can take an *inventory* of our psychological state through three methods.

We can become aware of body posture, breathing and movement patterns, a *physiological inventory*. We can take note of the prominent submodalities within our internal sensory experience, i.e. in visual imagery processing noting distinctions such as brightness, color, size and position of images. In sound and language processing distinctions such as tone, timbre, volume and location of voices and/music; in kinesthetic processing distinctions such as temperature, texture and area; a *submodality inventory*. On a more complex level of organization, we can take an account of the constellation of components that make up our emotional states, an *emotion inventory*.

Developing an ability to take inventory in all three ways leads to greater flexibility along with the pleasant side benefit of increasing mastery over the psychological states you inhabit.

According to Castaneda’s don Juan, “Warriors take strategic inventories. They list everything they do. Then they decide which of those things can be changed in order to allow themselves a respite, in terms of expending their energy.”

When Castaneda argued that this list would have to include everything under the sun, don Juan answered that the strategic inventory he was talking about covered only behavioral patterns that were not essential to our survival and well-being.

Don Juan said that in strategic inventories of warriors, self-importance figures as the activity that consumes the greatest amount of energy, hence, their effort to eradicate it. “One of the first concerns of warriors is to free that energy in order to face the unknown with it,” don Juan pointed out. The action of rechanneling that energy is what don Juan refers to as “impeccability.”

## Life Lines or Safety Lines

Life lines or safety lines are sets of internal signals which cue us to pay attention to certain aspects of our environment which might call into question our mental, physical or spiritual well being. Life lin

allow us to commit more fully and creatively to a process or state. For instance, when committing to deep trance it is important to have an ending cue, or a way back to external, Unsensual reality: like buying a round trip ticket when one goes on holiday.

Life lines allow us to commit a larger portion of our attention, fully to a process or state. As an analogy, a rock climber using a safety rope can test out more moves, be more creative and stretch further knowing that his safety is taken care of by the safety line, climbing harness and pinion pin carefully set into the rock.

Life lines allow us to commit for a set period of time: much like an actor who has contextual markers, such as the curtain at the end of the performance. The curtain serves as a contextual marker to remind the actor that it is time to let go of the role he is playing and recover his own persona.

## Recognizing and Monitoring Internal States

Managing one's own internal state and the states of others is one of the most important and influential skills of communication and change. Non-verbal cues are often one of the most relevant and influential aspects of monitoring and managing internal states. It is important to acknowledge the influence of behavior, even very subtle aspects of physiology, on communication. Different states or attitudes can be expressed through different patterns of language and behaviors. In this sense, states are often influenced by 'meta messages' and are themselves a 'meta message' about what sort of information is being sent or received. That is, if someone suddenly shifts from being open to being skeptical, it is a meta message about how that person is receiving your messages.

It is important to realize that in situations in which you experience stress or conflict, for instance, you might express those attitudes even though you're not aware of it. As you become aware of these kinds of cues, some of them become more obvious, especially in situations where people are acting spontaneously.

Physiology also provides a powerful leverage to change people's states and thinking processes. Physiological cues give us tools to influence internal states as well as the cognitive processes associated with effective communication.

Thus, emotional or psychological state can be changed in a number of ways.

- Changing physiology.
  - shifting posture
  - shifting breathing pattern
- Changing internal computations.
  - using dissociation
  - using submodalities
  - accessing and self anchoring a resource memory

## Scale of Change

While learning a new process, it is wise to select a choice point with a low enough magnitude on a scale of change that will allow you to focus on learning the process, while at the same time being high enough so that you will notice the difference the process has made. For instance on a scale of 1 to 10:

1= What challenge?

2

3

4= usually 3-6 is a good range for learning

5

6

7

8

9

10= Earth shattering!

## **Personal Editing/Performance Management**

“Editing” refers to the process of “modifying or adapting so as to make suitable or acceptable by correcting or revising.” *Personal Editing* was developed in New Coding NLP. It refers to the process which allows a person to mentally edit their experiential material, regardless of the time frame. A person can edit very much the way an editor punctuates and corrects written material, or the way a film editor works on a movie. This form of editing of experience deals with two aspects, emotional states and how we use our attention while in them.

When a person changes his or her emotional state and reperceives a situation while in that state, the person’s attention will also be different. He or she might attend to a different conversation that would change the meaning of that situation and thus his or her experience of it. The person might perceive a bigger or smaller portion of the situation which would change the meaning, or the or she might understand the whole situation in another way.

We all enter into contexts mentally or literally that bring up unwanted emotional states. We can learn to notice where our attention goes, what we are attending to and what is in our consciousness.

### **The Walk of Power & Grace (Personal Editing 1)**

2 persons

1. The subject identifies a choice point.
2. The subject starts walking with the intention of creating an optimal state.
3. The guide calibrates the subject and offers suggestions designed to assist the subject to optimize the state via the walk. The subject is free to take or leave any of the suggestions.
4. When the subject and the guide agree that the walk and the state are optimal, the guides function is to coach the subject to maintain that. Anchors may be used.
5. At the subject’s discretion while maintaining the walk and the state, the subject generates a representation of the choice point. The subject notices if the representation or their response to it changes.
6. Repeat process until the change is satisfactory to the subject or the choice point ceases to be an issue.

### **Breath of Life (Personal Editing 2)**

2 persons

Person A

1. Select a recurrent (problem) situation in which you want to enhance the quality of your experience, i.e., have more choices for responding than you have had.
2. Select a powerful reference experience from your personal history, state which has balance, flexibility, acuity, relaxed (no excess-tension), the qualities you would want to be true of the ‘choice point’ experience.
3. Enter the state (relive the powerful experience) and signal your guide when you have reassessed the physiological sensations associated with it, including the breathing pattern.

Person B acts as a guide

1. Calibrates A's breathing pattern – gathers visual, auditory and tactile information (by resting his / her hand lightly on A's shoulder) and memorizes the breathing cycle (duration, depth, location...).
2. Signals A to think his / her way through the choice point. B assists A to sustain the resourceful breathing pattern while seeing and hearing what typically occurs in the choice point.

### Alphabet Chart (Personal Editing 3)

In the following drill, you will be “editing” and experience by splitting and coordinating different channels of attention. The exercise involves using the table shown below. The twenty six letters of the alphabet, printed in bold, are to be read aloud. The letters “R,” “L” and “T” are cues relating to the movement of your hands.

Whenever you see an “R” beneath the letter of the alphabet you are reading, you are to briefly raise your right hand. An “L” means to lift your left hand. “T” indicates temporarily raising both hands together.

Thus, in the simplest version of the exercise, you would move along the top row in the following manner: (say aloud) “A” (raise right hand), (say aloud) “B” (raise left hand), (say aloud) “C” (raise both hands), (say aloud) “D” (raise right hand), and so forth.

<b>A</b> R	<b>B</b> L	<b>C</b> T	<b>D</b> R	<b>E</b> L
<b>F</b> R	<b>G</b> T	<b>H</b> L	<b>I</b> R	<b>J</b> T
<b>K</b> T	<b>L</b> R	<b>M</b> L	<b>N</b> L	<b>O</b> T
<b>P</b> R	<b>Q</b> L	<b>R</b> T	<b>S</b> R	<b>T</b> L
<b>U</b> R	<b>V</b> L	<b>W</b> T	<b>X</b> R	<b>Y</b> L

To use this process for personal editing:

1. Select a recurrent (problem) situation in which you want to enhance the quality of your experience, i.e., have more choices for responding than you currently have.
2. Holding this situation in mind, go through the chart in the manner described above.
3. When you have finished, think about the situation again and notice what changes you experience in how you perceive or respond to that situation.

For instance, do you feel different about it now. Do you hear or see information, that was not obvious or available before, which makes a difference in how you respond. Perhaps you realize that you have been fixating on a certain part of the experience, and are able to perceive a wider perspective after going through the exercise.

Other variations of the exercise involve going down each column vertically (i.e., A, F, K, P, U) instead of horizontally, doing the alphabet backwards, skipping every other letter, etc.

## Anchoring and Learning

A good way to begin to understand the uses of anchoring is to consider how they can be applied in the context of teaching and learning. The process of anchoring, for instance, is an effective means to solidify and transfer learning experiences. In its simplest form, ‘anchoring’ involves establishing an association between an external cue or stimulus and an internal experience or state, as in the example of Pavlov ringing the bell for his dogs. A lot of learning relates to conditioning, and conditioning relates to the kind of stimuli that become attached to reactions. An anchor is a stimulus that becomes associated with a learning experience. If you can anchor something in a classroom environment, you can then bring the anchor to the work environment as, minimally, an associative reminder of what was learned.

As an example of this, they did a research study with students in classrooms. They had students learn some kind of task in a certain classroom. Then they split the class in half and put one of the groups in a different room. Then they tested them. The ones who were in the same room where they had learned the material did better on the exams than the students who had been moved to a different room. Presumably this was because there were environmental cues that were associated with the material they had been learning.

We have probably all been in the situation of experiencing something that we wanted to remember, but when we go into a new environment where all the stimuli are so different, it’s easier to forget. By developing the ability to use certain kinds of anchors, teachers and learners can facilitate the generalization of learning. There will certainly be a greater possibility that learning will be transferred if one can also transfer certain stimuli.

There is another aspect to anchoring related to the fact that Pavlov’s dog had to be in a certain state for the bell to mean anything. The dogs had to be hungry; then Pavlov could anchor the stimulus to the response. Similarly, there is an issue related to what state learners are in, in order to effectively establish an anchor. For instance, a PowerPoint slide is a map, but it’s also a stimulus. That is, it gives information, but it can also be a trigger for a reference experience. An effective teacher needs to know when to send a message or not to send a message. If people have a sudden insight – an “Aha!” – and you turn on a transparency, it is going to be received in a different way and associated in a different way than if people are struggling with a concept.

Timing can be very important. It is important for a teacher to time the presentation of material in relation to the state of his or her learners. If the teacher has a cognitive package to present, such as a key word or a visual map, he or she must wait for the moment that the ‘iron gets hot’. When the teacher senses that there’s a kind of a readiness, or a surge, or an openness in the group, at that moment he or she would introduce the concepts or show the key words. Because the point of anchoring is that a teacher is not just giving information, he or she is also providing stimuli that gets connected to the reference experiences of the learners. This is why stimuli that are symbolic are often more effective anchors.

The kinds of questions that a teacher needs to answer are, “When do I introduce this idea?” and “How strongly do I want people to experience it, or respond to it?” For example, if the teacher is facilitating a discussion, an issue might arise that is deeply related to beliefs and values that is strongly felt, especially by some people. In that moment, if the presenter puts information out, it becomes connected with that degree of interest or involvement.

The point is that anchoring is not simply a mechanical matter of presenting cognitive maps and giving examples. There’s also the issue of the state of commitment or interest of the learners, as well. Sometimes a teacher will want to let a discussion go on, not just because people are making logical connections, but because the energy level of the group is intensifying, and you want to capture that moment. In other times, if the state of the group is low, the teacher might not want to anchor that state to certain topics or reference experiences.

People may use anchors to reaccess resourceful states in themselves as well as in others. It is possible for a teacher, for instance, to use a self-anchor to get into the state he or she desires to be in as a leader of a group. A self-anchor could be an internal image of something that, when thought about, automatically brings on that state. Somebody one is close to, for instance. One could also make a self-anchor through an example. Talking about one’s children, or some experience that has a lot of very deep associations.

In summary, anchors employ the process of association to:

- focus awareness
- reaccess cognitive knowledge and internal states
- connect experiences together in order to:
  - enrich meaning
  - consolidate knowledge
- transfer learnings and experiences to other contexts

Cues that are anchors can help to transfer learnings to other contexts. The ‘cue’ used as an anchor may be either verbal, non-verbal or symbolic (a person may even become an anchor). Common objects and cues from a person’s home or working environment may make effective anchors. Some common types of cues used to create anchors include:

- Stimuli
- voice tone
- gestures
- locations
- key words

- Symbols
- metaphors
- slogans

- Universals
- analogies
- common experiences

#### *11 Establishing an Anchor*

One of the skills of effective teaching or learning is being able to ‘imprint’ something by catching those moments when information will be associated with positive or powerful internal states. Pavlov found there were two ways of creating associations. One was through repetition, the continual association between a stimulus and a response. The other had to do with connecting an intense internal state to a particular stimulus. For example, people remember the details of highly emotional experiences with no repetition at all. The association is made immediately.

These are two important aspects related to establishing an anchor. One is the continued reinforcement of the anchor. Pavlov found that if he started ringing the bell and not giving the food, eventually the response to the bell would diminish and fail. For an anchor to last for a long time, it has to be reinforced in some way. This is an important issue with respect to continued self-learning.

The other aspect has to do with the richness and intensity of the experience one is attempting to anchor.

As an example, let’s say a couple is preparing for childbirth. The husband is usually in the role of the coach to the expectant mother. One of the challenges of being a coach during birth is that the experience is so intense that it’s hard to transfer everything you know because the real situation is so different than the one in which you practice. You practice breathing and the various other techniques at home in a comfortable state, but when the reality occurs it’s a completely different situation that makes it difficult to remember all the techniques that you have practiced.

One helpful strategy is to make an anchor. When the expectant mother is in the state that she wants to be able to maintain throughout the birth process, she can make an internal anchor, such as a symbol. She could be asked, “What would symbolize this state?” Let’s say she imagines a nautilus shell – a snail shell that has a big opening on the bottom. The couple could then actually buy one of these shells. Then during all their practice sessions, the expectant mother could focus her eyes on the shell. The shell may then be brought into the hospital during the actual child birth process, and be an ongoing trigger to help generalize the desired state to the actual birthing process.

As another example, let’s say a team leader is trying to get a group into a positive state for brainstorming, and has done a very nice job of creating a motivated state. The question is, how can the leader anchor that state so that he or she can get back that same degree of motivation more quickly in the future? One way is through particular behaviors, such as a special eye contact, or facial expression that could be used again later to trigger that state. Another way is to use something external as a means to draw the focus of the group – like pointing to a flip chart or referring to a transparency.

#### *Anchoring-Elaboration Cycle*

An anchor is often best established by first associating the cue with the experience, then going through a cycle in which the experience is continually elaborated and the anchor repeated. The ‘anchoring-elaboration’ cycle is a useful way to reinforce learnings and associations.

After the initial association is made, the communicator or teacher will want to ‘elaborate’ the

number of connections by stimulating and anchoring associations such as, “How does this apply to your work?” “How does this relate to your family?” “How does this relate to a friend, or an ongoing situation?” This is not simply a repetitive reinforcement, it’s an enrichment and an elaboration of the space of experience which one is trying to anchor to something.

The more that can be elaborated or elicited with respect to a particular concept or reference experience, the stronger that anchor will tend to be. For example, music often affects people because of what was happening there when they first heard a particular song. Something important or something significant in their life was going on and the song happened to be on the radio. This is the essence of ‘nostalgia’.

One can anchor by returning to specific examples, stories, or jokes. Think about being with a group of friends. When you repeat a story about some experience, you recreate the same feeling that you had when you were together before.

The word “anchoring” is itself an anchor. During this discussion, for example, we have been connecting a number of different reference experiences to the term ‘anchor’. ‘Anchoring’ is the term we keep coming back to elaborating the richness of its meaning.

### *Natural Anchors*

Natural anchors relate to the fact that not all stimuli are equally effective as anchors. We form associations with respect to some cues more readily than others. Clearly, the ability to make associations with respect to environmental cues in order to choose appropriate responses is vital to the survival of all higher animals. As a result, various species of animals develop more sensitivity to certain types of stimuli than others. Rats, for instance, who are given two water dishes containing safe or tainted drinking water, learn very quickly to distinguish the safe from the tainted water if the tainted water is a different color than the safe water. It takes them much longer to learn to distinguish the two if they are put in two containers of different shapes. Color is a more “natural” associative anchor for rats than shape. Similarly, Pavlov found that his dogs could be conditioned to salivate much more quickly and easily with sound as a stimulus than if visual cues, such as colors and shapes, were used as a conditioning stimuli.

Natural anchors are probably related to basic neurological capabilities. Words, for instance, are able to form powerful anchors for humans, but not for other species. Other mammals (provided they can hear) respond to tone of voice more than the specific words being used. This is presumably because they lack the neural apparatus to be able to recognize verbal distinctions to the same degree of detail that humans do. Even in humans, some sense organs and parts of the body have more discriminative capacity than others. A person’s back or forearm, for example, have less tactile nerve endings than the fingers or palm of the hand. Thus, a person is able to make finer discriminations with the fingers and hands than with his or her back or arms.

The awareness of “natural anchors” is important in selecting types of stimuli to be used for anchoring. Different types of media can be used to help make certain types of associations more easily. With people, individuals may have certain natural tendencies toward certain types of anchors because of their natural or learned representational abilities. A visually oriented person will be more sensitive to visual cues; kinesthetically oriented people may make associations more easily with tactile cues; individuals who are auditorily oriented will be responsive to subtle sounds, and so on. Smells often form powerful anchors for people. This is partially because the sense of smell is wired directly to the association areas of the brain.

### *Covert Anchors*

Sometimes the most powerful anchors for people are those in which the stimulus is outside of awareness. These are called “covert” anchors. The power of covert anchors comes from the fact that they bypass conscious filtering and interference. This can be useful if a person (or group) is struggling to make a change because his or her conscious mind keeps getting in the way. It also makes covert anchors a powerful form of influence.

Covert anchors are often established with respect to stimuli that are from an individual’s least conscious representational system. A highly visual person, for instance, may be unaware of subtle shifts in tone of voice. Voice, then, may become a rich source of unconscious cues for that person.

### *Anchors as Meta Messages*

Anchoring is often considered to be a purely mechanical process, but it is important to keep in mind that we are not merely robots. Not all cues are neutral. A touch on the shoulder or arm may certainly be a stimulus from which to form and anchor, but it can be interpreted at the same time as a “meta message” about context and relationship. Many cues are not simply triggers for responses but are symbolic messages as well. Placing one’s hand on the upper center of another person’s chest (over the heart) is a stimulus, and is also a very symbolic gesture.

These types of symbolic and relational messages can be either a help or hindrance to anchoring, depending on whether or not they are aligned with the type of response one is attempting to anchor.

As a rule of thumb, for example, if you are using kinesthetic anchors, it is better to establish anchors for negative states toward the periphery of the body (i.e., knees, forearms, or locational anchors). Anchors for positive states can take on more intensity if they are established on areas of the body close to a person’s center or core.

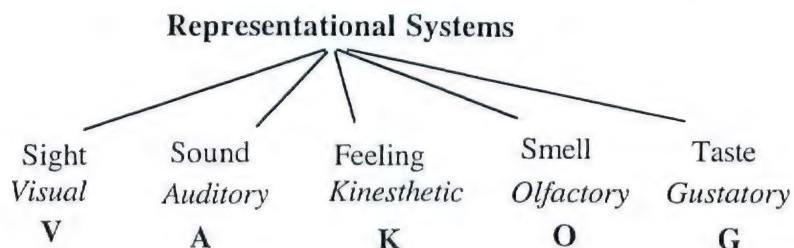
## The R.O.L.E. Model

The term R.O.L.E. Model was coined by Robert Dilts in 1987 to describe the four basic NLP elements involved in modeling cognitive strategies. The goal of the R.O.L.E. modeling process is to identify the essential elements of thinking and behavior used to produce a particular response or outcome. This involves identifying the critical steps of the mental strategy and the role each step plays in the overall neurological "program". This role is determined by the following four factors which are indicated by the letters which make up name of the R.O.L.E. Model – *Representational systems; Orientation; Links; Effect.*

### Representational Systems

*"The senses are the ministers of the Soul."*  
- Leonardo da Vinci

Representational systems are the brain structures which operate the five senses—*Visual (sight), Auditory (sound), Kinesthetic (feeling), Olfactory (smell) and Gustatory (taste)*. Based on the fact that the brain stores and processes information from the five senses, NLP considers each step in a mental program to be a reactivation of some sensory processes—i.e., that “thinking” is the combining and sequencing of mental images, sounds, feelings, etc. Whether the thought process is one of memory, decision making, learning, motivation, creativity or belief it will involve sensory experience. The way which we combine and sequence our mental representations during thinking will to a great extent determine the accuracy and impact of the information we are considering.



For example, remember a pleasant meal you had recently. To access this memory you might have made a mental image (**V**) of the food you ate, the person or people you were with or the place where you ate. Or perhaps instead you remembered the sounds (**A**) in the environment, snatches of the talk that took place during the meal, or even the sound the food made while you were eating it. Did you repeat the instruction, “*think of a pleasant meal,*” to yourself as you were trying to remember? Perhaps part of the experience included the feel (**K**) of the chair you sat in at the dinner table or the silverware in your hand; the temperature of the eating environment; the sensations of the food in your stomach; or just the overall sense of a pleasing meal. Did you recall the actual smells and tastes (**O**) of the food you ate? You may have experienced all of these different sensations one after the other, or maybe some were combined together and came into your conscious awareness at the same time. Certain parts may have been more vivid and easy to get to than others.

Now think of an experience that is not particularly pleasant, like sitting in the dentist’s chair. Notice once again if you accessed this experience with some kind of internal image (**V**) of the dentist, the dentist’s staff, office or of particular dental instruments. Or perhaps you recalled sounds first (**A**), like the dentist’s voice or the sounds of the drills, etc. Did you remember the feeling (**K**) of the angle of the dentist’s chair, numbness in your mouth, or other feelings we will choose not to dwell on? How much did you access the smells and tastes (**O**) of the medicines, mouthwash, cotton rolls, etc. Was the sequence you used to access this memory similar to or different from the memory of the pleasant meal? Perhaps certain sensory portions of this second memory stood out more than the first one.

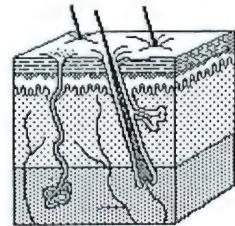
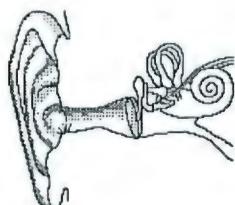
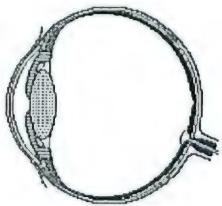
The sensory system(s) someone uses to carry out a particular mental task can make a significant difference in their effectiveness. For instance, some tasks are more visual in nature (proof reading, for example) and require the ability to visualize. Other behaviors are more dependent on one of the other senses, such as playing a musical instrument (auditory) or performing gymnastics (kinesthetic).

### *Language as a Representational System*

While the spoken word is part of the auditory system, its function is to organize and connect information from the other senses as opposed to simply register qualities of an experience as the more purely tonal elements of the auditory system. Since language is actually represented differently in the brain than pure sounds, NLP considers language to function as another representational system. Thus NLP distinguishes between the linguistic and the tonal functions of the auditory system by designating pure sounds as **A<sub>t</sub>** for (A)uditory (t)onal, and words as **A<sub>d</sub>** for (A)uditory (d)igital (the term “digital” is used since words are discrete verbal symbols or digits).

### *Submodalities*

Each representational system is designed to perceive certain basic qualities of the experiences it senses. These include characteristics such as *color*, *brightness*, *tone*, *loudness*, *temperature*, *pressure*, etc. These qualities are called “submodalities” in NLP since they are sub-components of each of the representational systems. People will also differ in their abilities to detect and manipulate these sensor characteristics which can be an important determining factor in the ability to perform particular mental tasks. It is the information about sensory qualities of things that are most important to our minds, not the things themselves. In fact, a number of the techniques of NLP are based on having the subject consciously change the submodality qualities of their mental representations in order to change their reactions to a particular memory or thought. Some common submodalities are listed below.



<u>VISUAL</u>
BRIGHTNESS (dim-bright)
SIZE (large-small)
COLOR (black & white- <b>color</b> )
MOVEMENT (fast-slow-still)
DISTANCE (near-far)
FOCUS (clear-fuzzy )
LOCATION

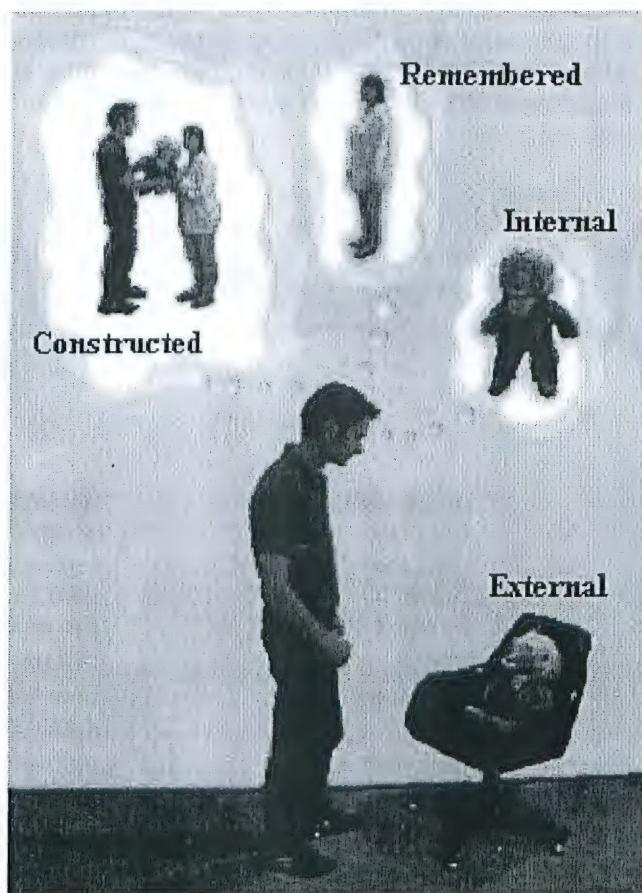
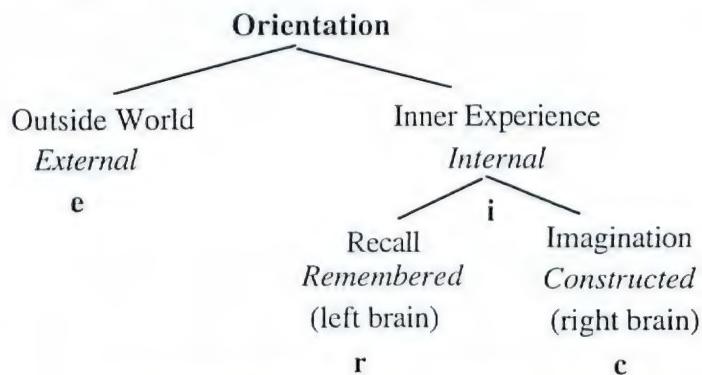
<u>AUDITORY</u>
VOLUME (loud-soft)
TONE ( <b>bass</b> -treble)
PITCH (high-low)
TEMPO (fast-slow)
DISTANCE (close-far)
RHYTHM
LOCATION

<u>KINESTHETIC</u>
INTENSITY (strong-weak)
AREA (large-small)
TEXTURE (rough-smooth)
DURATION (constant-intermittent)
TEMPERATURE (hot-cold)
WEIGHT (heavy-light)
LOCATION

### Orientation

There are three basic ways we can *orient* the use of our senses: (1) to take in information from the *external world*, (2) to *remember* or *recall* information that has already been taken in by the brain and (3) to *construct*, imagine or piece together new information that has not ever been sensed previously. Clearly, we guide our lives based on how we piece together our memories and constructs of the future to respond to what we are able to perceive in the ongoing external environment. The emphasis placed on these various functions, the order in which they are balanced and combined together, how much information is brought in through each, etc., will influence the success or failure of a particular thought process.

NLP uses the abbreviations **e**, **r**, and **c** to indicate when the orientation of a representational system is (**e**xternal, (**r**)emembered, or (**c**)onstructed. If it is unclear or unimportant whether the orientation is constructed or remembered, we will simply use the abbreviation **i** for (**i**nternal orientation.



### Our Representational Channels Have Several Different Orientations

As an exploration:

1. Look at something in the *external* environment around you.
2. Close your eyes briefly and notice how you *internally* represent what you saw.
3. What are some associations to *memories* you can make from this object or phenomenon?
4. Imagine or *construct* a scenario combining the external object or phenomenon in your environment with one of the remembered objects or scenes you associated to.
5. Repeat this process with your other senses.

## Differences in Individual Orientation

Individuals differ in their abilities to orient their senses in these ways. Some people are able to make acute external observations with one or more of their senses. Often one orientation is developed at the expense of another. For instance, someone may have a photographic memory (**V<sup>R</sup>**) but not be very imaginative (**V<sup>C</sup>**). Similarly, highly creative people are often notoriously forgetful when it comes to remembering details, appointments, etc. (Incidentally, these two abilities have been linked to the different functions of the two sides of the brain.) Another common example is when someone develops their internal abilities to use their senses at the expense of their abilities to orient externally, and vice versa. This is often why people think that someone cannot be a good student (which involves internal abilities) and a good athlete as well (which involves external seeing, hearing, and feeling).

The most general differences occur between which representational systems are (1) *most highly developed*, (2) *most highly valued*, and (3) *most conscious*. The *development* of a representational system is determined by the capability to manipulate, organize, synthesize and distinguish information (submodalities, orientation, etc.) within that system. How much a representational system is *valued* is determined by the impact it has on a person's behavior (the elements that determine the impact of a particular representational system will be explored more fully in a later section of this article). Some people, for example, have a very highly developed ability to use language, yet what they say has very little to do with how they act. *Consciousness* of a representational system is a function of how much a person is aware of the information being processed through that system. Someone may be very conscious of feelings but not be able to manipulate them very well—in fact, sometimes that is why they remain in consciousness so much. Likewise a person may have a very well developed ability to create and respond to visual imagery and yet have no conscious awareness of making internal images. It is possible for someone to have one representational system which is the most developed, most valued and most conscious. It is also possible that these functions might each involve a different sensory system. For example, a person could be most able to manipulate words and sounds, respond most often to feelings, yet be most consciously aware of what he or she sees.

In addition to determining aptitudes for certain tasks, the over or under-development of the orientation of a particular representational system forms the basis of many fundamental personality characteristics.

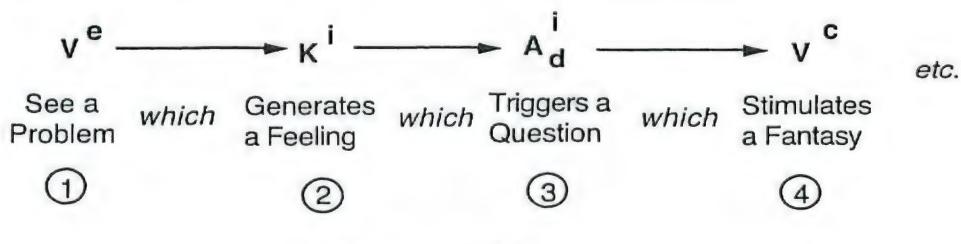
## Links

Links have to do with how a particular step or sensory representation is linked to the other representations. For example, is something seen in the external environment linked to internal feelings remembered images, or words? Is a particular feeling linked to constructed pictures, memories of sounds or other feelings?

The sequence and manner in which each sensory step is linked to the step that comes before it and the one that comes after it is another important feature of thought. There are two basic ways that representations can be linked together: *sequentially* and *simultaneously*.

### Digital Linkages

Sequential links are usually a function of “digital” coding. When representations are linked sequentially, they act as *anchors* or triggers such that one representation follows another in a linear chain of events.

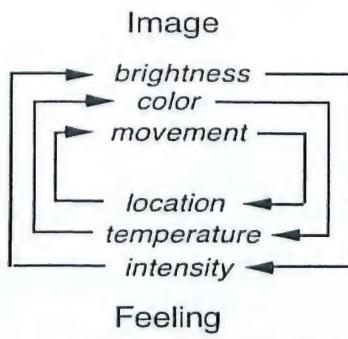


Digital coding involves connections which basically function as a trigger or a switch. They turn a particular process either on or off. There is no overlap between the representation that serves as the stimulus or trigger and the one that occurs as the response. Most *verbal* and *symbolic* cues form *digital* linkages. For example, the word “*cat*” does not physically sound like a cat, feel furry, nor do the sounds or letters attempt to indicate four legs, whiskers, a tail etc. The word is simply a cue for us to access a particular class of mental pictures, sounds, feelings, etc. In NLP notation, digital links are shown as an arrow connecting the two experiences that have been linked. The arrow points from the trigger representation to the response. So  $A_d \rightarrow V_r$  would indicate a word which triggers a remembered mental image. The abbreviation  $V_e \rightarrow K_e$  would indicate an external visual cue (like the red light on a traffic signal) that cues an external movement.

### *Analog Linkages*

Simultaneous links occur as a function of “analog” coding. In an analog linkage there is an overlap between the mental processes that are linked together. Unlike a digital link, two representations which are linked together analogically vary in proportion to each other (as opposed either being on or off). For example, some people experience an overlap between what they see and what they feel. Dancers, for instance, sometimes report actually feeling the movements of someone they are watching perform. Furthermore, if the movements they see are more intense, their feeling response is more intense. In NLP this connection would be called a “*see-feel*” overlap. In NLP, this type of analog linkage is notated as  $V_e \nrightarrow K_i$ . A musician may have the same kind of overlapping link between tones and images. Such a linkage would be called a “*hear-see*” overlap ( $A_t \nrightarrow V_i$ ).

The particular sequence of the steps that are linked together is a very influential factor in the effectiveness of the strategy. For example, a see-feel link might be better for evaluative functions like art criticism or copy editing, while a feel-see link might be better for productive functions like creating piece of art or brainstorming.



### **Synesthesia Links**

Simultaneous, analog links often occur as *synesthesia*s. Synesthesia have to do with the ongoing overlap between sensory representations.

### *Synesthesia*

In NLP the term “*synesthesia*” is often used to refer to the process of overlapping the information coming from one sense to information in a different modality. The term literally means “a synthesizing of the senses.” Two experiences become so overlapped together that it is difficult to distinguish or separate them. Synesthesia patterns can be a very important factor in determining the ease or effectiveness with which certain mental functions are performed. As with the other cognitive capacities, the strength of the various synesthesia relationships vary for different people. In many ways these are primary neurological functions and will determine a person’s innate capabilities, and form the fundamental building blocks of intelligence and personality.

## Synesthesia between Submodalities

It should also be noted that these synesthesia links may occur between the submodality qualities of the various representational systems as well. For example, in a **V=>K<sup>i</sup>** synesthesia some people may feel relaxed when they see the color blue and irritated when they see red, while others may have little response to color but feel relaxed when they see slow movement and irritation when the movement is too fast. For others, the intensity of feeling may be linked to brightness, and so on.

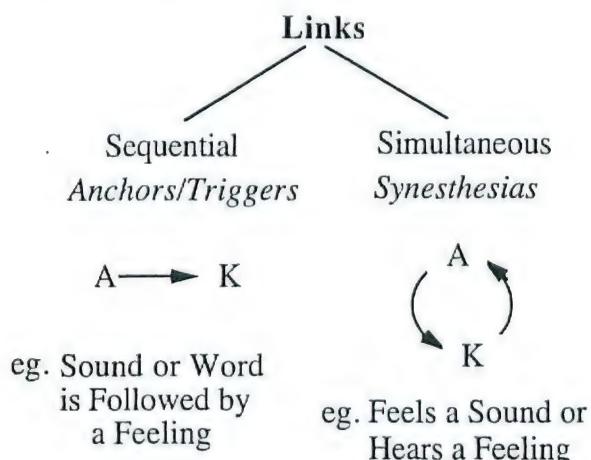
For example, it was mentioned earlier that submodalities may be used to change the reaction associated with a particular memory or thought. Review the two experiences discussed previously — the pleasant meal and the unpleasant trip to the dentist. Which qualities of sight, sound, feeling smell and taste make the one pleasant and the other unpleasant? As an experiment, change some of the dimensions of the sensory qualities of your memories. Alter the mental image you have of the pleasant meal by making it dimmer and then brighter. Make the size of the image bigger than life and then make it smaller and farther away. Make the sounds you have associated with the experience louder and then softer. Raise and lower the pitch of the voices and other sounds. Notice how these effect the degree of quality of the feelings of pleasantness associated with the experience.

Now do the same thing with the unpleasant experience of the dentist's office. For instance, make any pictures you have associated with the experience dim and far away. Try viewing your memory of the experiences from a disassociated point of view—as if you were sitting in a theater watching yourself as a movie character. Reduce the volume of any of the sounds associated with it and lower the pitch of the drill to low, slow drone. Most likely you will find that altering the qualities of the experience in this way will significantly change the degree of unpleasantness you experience in connection with the memory at the moment.

Your ability to make these manipulations will give you some information about your own most highly developed, most valued and most conscious representational systems.

## Establishing Linkages through 'Anchoring'

Certainly, both of these kinds of links, simultaneous and sequential, analog and digital, are essential to thinking, learning, creativity and the general organization of our experiences.



## Types of Links in the R.O.L.E. Model

In NLP the term “anchoring” refers to the establishment of a linkage between one sensory representation and another. Anchoring is a process similar to the “conditioning” technique used by Pavlov to create a linkage between the hearing of a bell and salivation in dogs. By associating the sound of a bell with the act of giving food to his dogs, Pavlov found he could eventually just ring the bell and the dogs would start salivating, even though no food was given. Similarly, in the dentist example above, people often come to associate the sound of the dentist’s drill with the pain it causes.

(At<sup>e</sup> → Ke) and can begin to feel anxious by simply hearing the sound of it.

In NLP this process of conditioning and association is used to purposefully establish or change linkages between steps in a mental program. In contrast to the behaviorist's stimulus-response conditioning formula in which the stimulus is always an external cue, 'anchors' may be established with any specific cognitive event. A remembered picture (V<sup>r</sup>) may be used to anchor a particular internal feeling (Ki), for instance. Or a touch on the leg (Ke) may be used to anchor a particular visual fantasy (Vc). A particular submodality quality such as voice tone may be used to anchor a particular submodality quality of an image or feeling, and so on. Most often anchors may be established through simply associating the two mental experiences together in time. For example, you could ask someone to vividly re-experience a time she felt very confident and pat her shoulder while she is thinking of the feeling. If you repeat this once or twice the pat on shoulder (Ke) will begin to become linked to the feeling of confidence (Ki). Eventually a pat on the shoulder will automatically give the person a feelir of confidence (Ke → Ki). Obviously, anchoring can be a very powerful tool for helping to establish and reactivate new mental programs.

### Effect

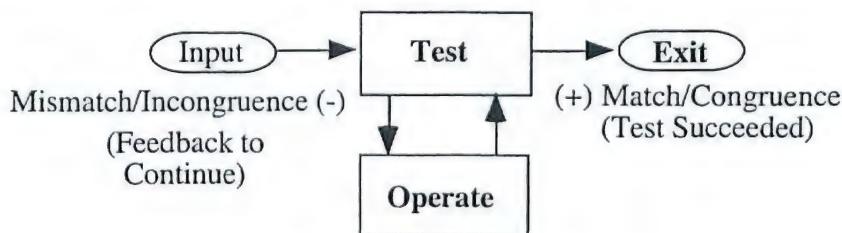
Effect has to do with the result, effect or purpose of each step in the thought process. The function or purpose that each particular mental step or linkage plays in the overall program is another important influence of the effectiveness of a strategy. The effect of a particular step in the thought sequence is a function of how it is used and what it is used for.

#### *The AEIOU of Effects*

Some possible effects of a particular step may be to:

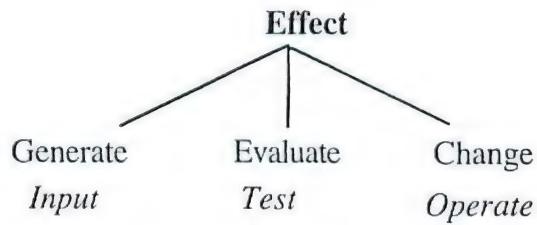
- (a)ccess information through the process of association and the application of perceptual filters.
- (e)valuate or judge information by comparing it or testing it against some standard or criteria.
- (i)nput information from the external environment.
- (o)rorganize information by arranging it in a certain structure.
- (u)tilize some aspect of the external environment in order to express or change something.

The above effects are typically organized into a basic feedback loop called a T.O.T.E. (Miller, et al 1960). The letters **T.O.T.E.** stand for *Test-Operate-Test-Exit*. The T.O.T.E. concept maintains that all mental and behavioral programs revolve around having a *fixed goal* and a *variable means to achieve that goal*. So the function of any particular part of a behavioral program could be to (T)est information from the senses in order to check progress towards the goal or to (O)perate to change some part of the ongoing experience so that it can satisfy the (T)est and (E)xit on to the next part of the program.



**Basic T.O.T.E. Structure**

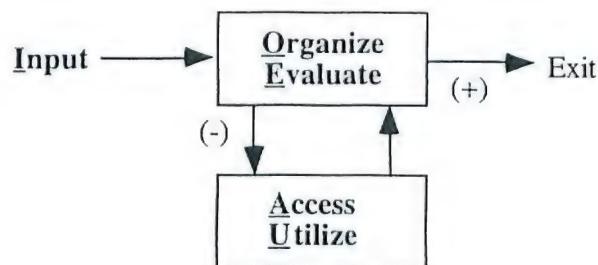
Thus, the function of the step could be to generate or input a sensory representation, to test or evaluate a particular sensory representation or to operate to change some part of an experience or behavior in relationship to a sensory representation.



### Possible Effects of R.O.L.E. Model Elements

As with the other R.O.L.E. Model elements, people differ in their ability to fix future goals (Tests) and in their flexibility and choices for varying their means of getting to that goal (operations).

In terms of the previously listed effects, Operations usually consist of *access* or *utilization* functions; and Tests consist of *organization* and *evaluative* functions.



### Basic Cognitive Functions Associated with the T.O.T.E.

The typical sequence of these functions would be:

(i)input from environment → (a)ccess other relevant information associated with the input → (o)rganize the information into an appropriate structure → (e)valuate the information according to priorities of criteria → (u)tilize something in the external environment in response to the evaluation (which creates new input).

To get a sense for how these different effects combine together to make up our thinking strategies, answer the following questions about a time when you were able to be resourceful and creative.

1. What is a context in which you are able to be creative and flexible?
2. What are the goals or objectives that you are attempting to accomplish in this context?
3. What do you use as evidence to know you are accomplishing those goals?
4. What do you do to get to the goals — what are some specific steps and activities that you use to achieve your goals in this context?
5. When you experience unexpected problems or difficulties in achieving your goals in this context, what is your response to them? What specific activities or steps do you take to correct them?

According to NLP, it is the type of representational systems, submodalities, orientations, linkages, etc., that a person uses to carry out these various tests and operations that will determine their degree of success.

## **Physiological Clues: Making the R.O.L.E. into a B.A.G.E.L.**

The B.A.G.E.L. Model was developed by Robert Dilts as a simple means to identify the key behavioral cues used by NLP to identify the internal processes of others. The R.O.L.E. model elements deal primarily with cognitive processes. In order to function, however, these mental programs need the help of certain bodily and physiological processes for consolidation and expression. These physical reactions are important for the teaching or development of certain mental processes as well as for the external observation and confirmation of them. The primary behavioral elements involved in R.O.L.E modeling are:

Body Posture

Accessing cues

Gestures

Eye movements

Language Patterns

### **1. Body Posture**

People often assume systematic, habitual postures when deep in thought. These postures can indicate a great deal about the representational system the person is using. The following are some typical examples:

- a. **Visual:** *Leaning back with head and shoulders up or rounded, shallow breathing.*



**Visual Posture**

b. Auditory: *Body leaning forward, head cocked, shoulders back, arms folded.*



Auditory Posture

c. Kinesthetic: *Head and shoulders down, deep breathing.*



Kinesthetic Posture

## **2. Accessing Cues**

When people are thinking, they cue or trigger certain types of representations in a number of different ways including: breathing rate, non-verbal “grunts and groans”, facial expressions, snapping their fingers, scratching their heads, and so on. Some of these are idiosyncratic to the individual and need to be ‘calibrated’ to the particular person. Many of these cues, however, are associated to particular sensory processes”

- a. **Visual:** *High shallow breathing, squinting eyes, voice higher pitch and faster tempo.*
- b. **Auditory:** *Diaphragmatic breathing, knitted brow, fluctuating voice tone and tempo.*
- c. **Kinesthetic:** *Deep abdominal breathing, deep breathy voice in a slower tempo.*

	<b>Visual</b>	<b>Auditory</b>	<b>Kinesthetic</b>
Breathing	High & Shallow	Diaphragmatic	Deep Abdominal
Facial Expression	Squinting Eyes	Knitted Brow	Loose Muscle Tone
Tone of Voice	High pitch	Fluctuating Melodic	Low Pitch Breathy
Tempo of Voice	Nasal Faster	Fluctuating Rhythmic	Slower

Remember a pleasant experience. Explore with a partner how your physiology changes as you attempt to accomplish each of the following instructions.

1. Place your attention on the sounds associated with the memory only.
2. Now, tune out the sounds completely.
3. Focus only on what ever internal imagery you have associated with the memory.
4. Now, make the images disappear.
5. Pay attention only to whatever feelings you associate with the memory.
6. Now, dissipate the feelings.

### **3. Gestures.**

People will often touch, point to or use gestures indicating the the sense organ they are using to think with. Some typical examples include:

- a. **Visual:** *Touching or pointing to the eyes; gestures made above eye level.*



- b. **Auditory:** *Pointing toward or gesturing near the ears; touching the mouth or jaw.*

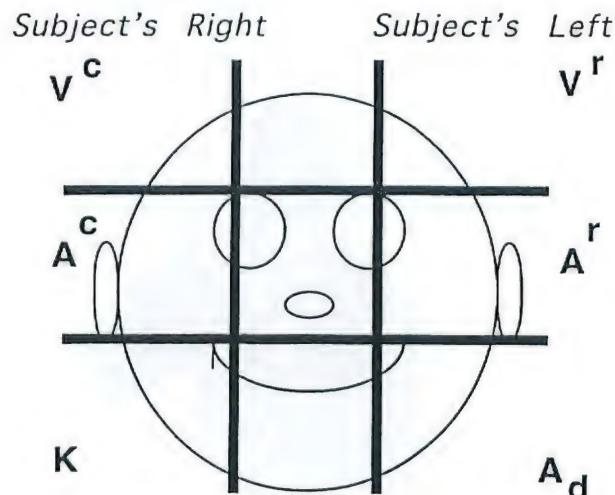
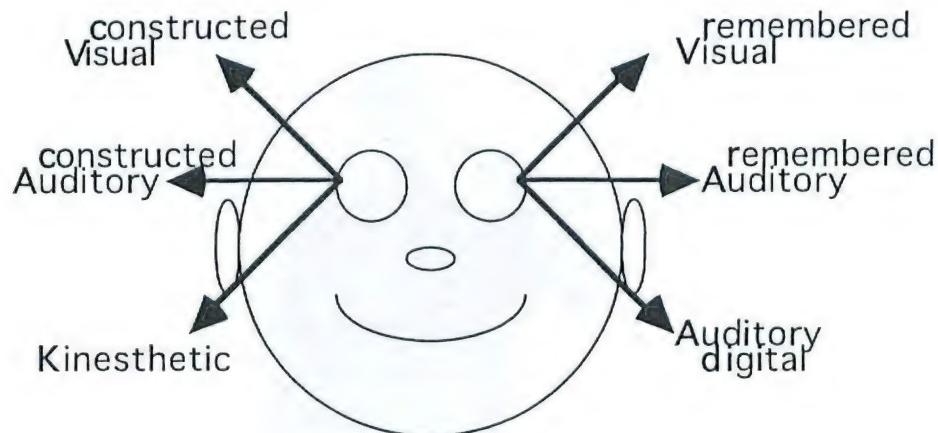


- c. **Kinesthetic:** *Touching the chest and stomach area; gestures made below the neck.*



#### 4. Eye movements

Automatic, unconscious eye movements often accompany particular thought processes indicating the accessing of one of the representational systems. NLP has categorized these cues into the following pattern:

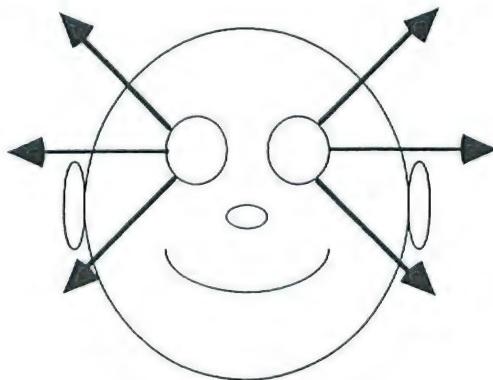


**Representational Systems  
Indicated by Eye Position.**

In the space below make a drawing or diagram that represents your own internal map of these eye movement patterns.

In the diagram below, indicate the representational system that is associated with each arrow.

Subject's Right      Subject's Left



Find a partner, ask the following questions and observe his or her eye movements. For each question keep track of your partner's eye movements in one of the boxes provided below by using marks lines or numbers that represent the sequence of positions you observe.

*Can you picture all of the items in your wallet or purse?*

*Can you hear the difference in the sound make by a bee and the sound make by a mosquito?*

*Can you feel what it is like to stand in a tub of warm water?*

*What is something that is really important to you? Think of it now.*

Subject's Right      Subject's Left

Up

<hr/>		

Lateral

Down

Subject's Right      Subject's Left

Up

Lateral

Down

<hr/>		

Subject's Right      Subject's Left

Up

Lateral

Down

<hr/>		

Subject's Right      Subject's Left

Up

Lateral

Down

<hr/>		

## 5. Language Patterns

A primary method of Neuro-Linguistic analysis is to search for particular linguistic patterns, such as 'predicates', which indicate a particular neurological representational system or sub-modality, and how that system or quality is being used in the overall program of thought. Predicates are words, such as verbs, adverbs and adjectives, which indicate actions or qualities as opposed to things. This type of language is typically selected at an unconscious level and thus reflects the underlying unconscious structure which produced them. Below is a list of common sensory based predicates:

<u>VISUAL</u>	<u>AUDITORY</u>	<u>KINESTHETIC</u>
<i>see</i>	<i>hear</i>	<i>grasp</i>
<i>look</i>	<i>listen</i>	<i>touch</i>
<i>sight</i>	<i>sound</i>	<i>feeling</i>
<i>clear</i>	<i>resonant</i>	<i>solid</i>
<i>bright</i>	<i>loud</i>	<i>heavy</i>
<i>picture</i>	<i>word</i>	<i>handle</i>
<i>hazy</i>	<i>noisy</i>	<i>rough</i>
<i>brings to light</i>	<i>rings a bell</i>	<i>connects</i>
<i>show</i>	<i>tell</i>	<i>move</i>

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In the spaces above, write down some other examples of predicates for each representational system. What are some examples of predicates for smell and taste?

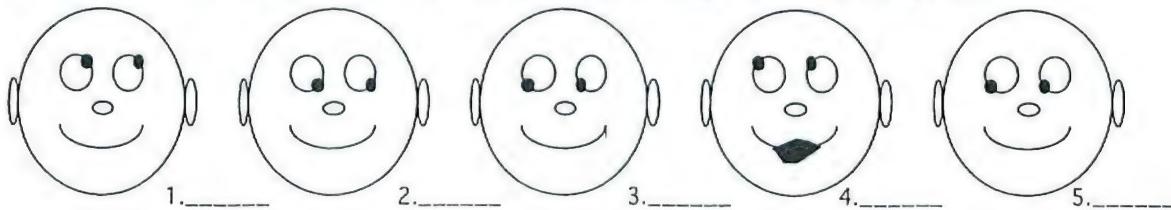
For each of the phrases in the following list indicate which category they most belong to:  
(V) visual, (A) auditory, (K) kinesthetic, (O) olfactory/gustatory, or (N) non-referring.

- |   |   |
|---|---|
| <input type="checkbox"/> stumbled on it   | <input type="checkbox"/> colorful ideas       |
| <input type="checkbox"/> that stinks      | <input type="checkbox"/> harmonious agreement |
| <input type="checkbox"/> gives me static  | <input type="checkbox"/> think it over        |
| <input type="checkbox"/> hazy outlook     | <input type="checkbox"/> bitter end           |
| <input type="checkbox"/> a true belief    | <input type="checkbox"/> new horizons         |
| <input type="checkbox"/> soured on it     | <input type="checkbox"/> felt pressured       |
| <input type="checkbox"/> grasped the idea | <input type="checkbox"/> warmed up to         |
| <input type="checkbox"/> loud mouth       | <input type="checkbox"/> keep in tune         |

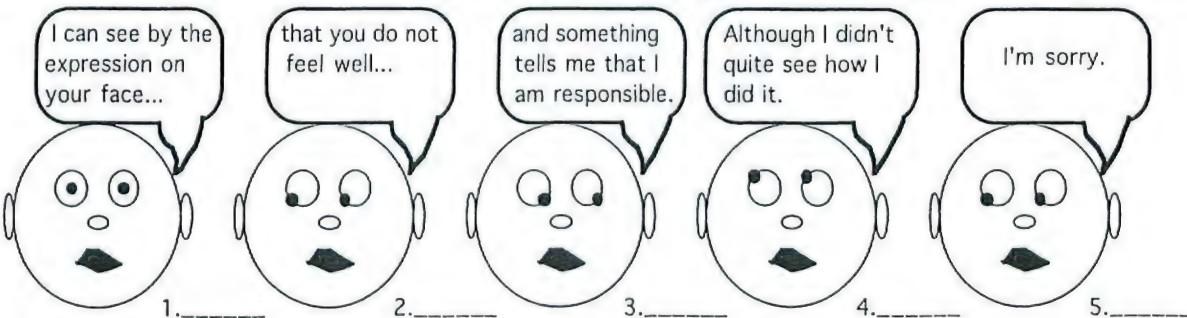
## ACCESSING CUES

Assume that the individuals represented by the drawings below are all normally organized right handed people.

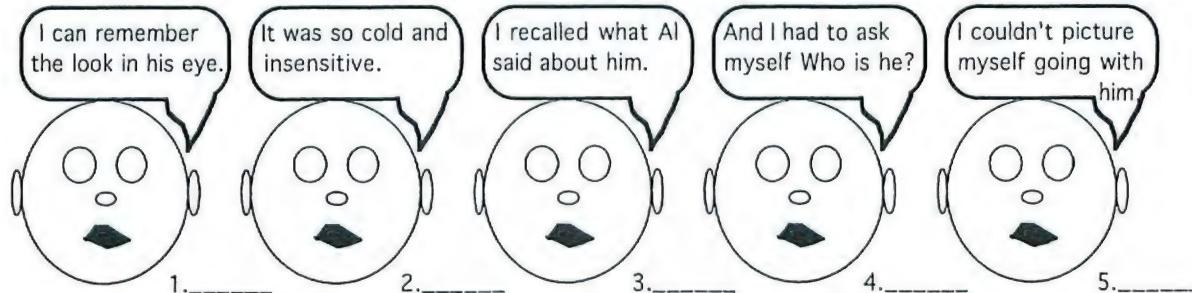
- A. In the spaces below the faces note the most appropriate strategy indicated by the eye positions.



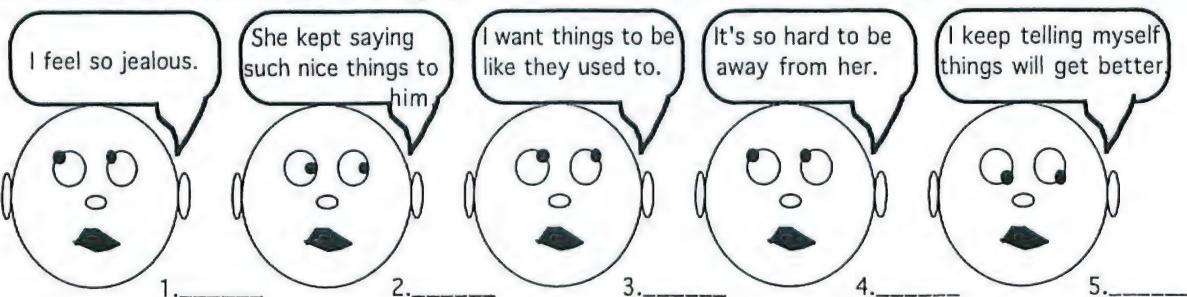
- B. In the spaces below the faces note the most appropriate strategy indicated by the eye positions and predicates.



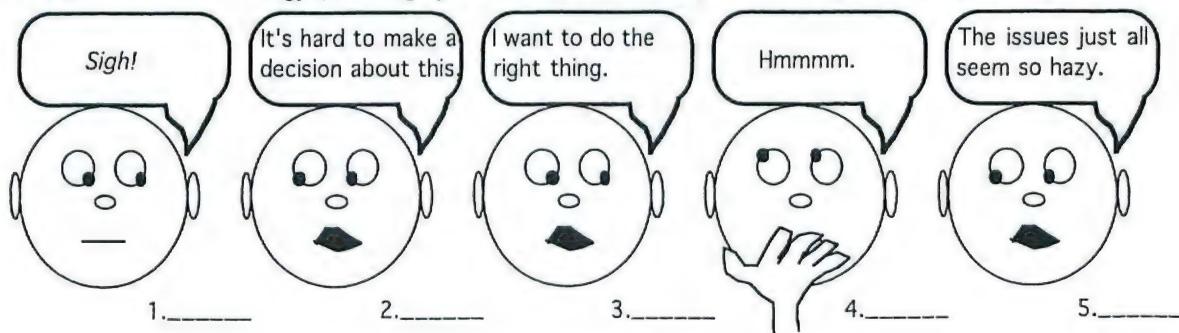
- C. Fill in the eyes in the faces below to most appropriately represent the strategy indicated by the predicates.



- D. Note below what strategy (including synesthesia) is most likely indicated by the eye positions and predicates.



- E. Note below what strategy (including synesthesia) is most likely indicated by the drawings and predicates.



## Strategies

*Strategies* relate to the “programming” part of Neuro-Linguistic Programming. People do not act effectively in the world through random, haphazard associations or reflexes. Effective people develop consistent step-by-step procedures for solving problems, making decisions, creating plans, etc. These specific sequences of mental steps are called a ‘*strategy*’ in NLP.

In modeling, a strategy is the particular mental map used by an individual in order to orchestrate or organize his or her activities to accomplish an effective result. It is a set of explicit mental and behavioral steps used to achieve a specific outcome. In NLP, the most important aspect of a strategy is considered to be the representational systems used to carry out the specific steps.

NLP provides a set of tools and distinctions that can be used to map out cognitive processes underlying the works of creative and exceptional people. Rather than focus on the content of the work of the particular individual to be modeled, NLP looks for the deeper structures that produced those results. In particular, NLP searches for the way in which someone uses such basic *neurological* processes as the senses (i.e., *seeing, hearing, feeling, smelling and tasting*), how these processes are shaped and reflected by *language*, and how the two combine to produce a particular *program* or strategy. According to the NLP model it is the way in which we organize our sensory and linguistic functions into a programmed sequence of mental activity that determines to a large degree how we will perceive and respond to the world around us.

Historically, Neuro-Linguistic Programming was brought into existence in California at the same time another important technological and social revolution was being born – the personal computer. A has been true in other periods in history, developments in our understanding of the mind mirror developments in technology (and vice versa). Much of the NLP approach to the mind is based on viewing the brain as functioning similar to a computer in some ways. In fact, much of the NLP terminology (and the name itself) incorporates the language of computer science.

A strategy is like a program in a computer. It tells you what to do with the information you are getting, and like a computer program, you can use the same strategy to process a lot of different kinds of information. A computer program might tell the computer to take this piece of data and take that piece of data, to add them together and put the answer in a particular place in memory. The program is independent of the content being processed through it. It doesn’t care what content is being put together and moved. Some programs are more efficient than others; some allow you to do more with the information than others; some are designed to take a lot of information and reduce it to very tightly chunked information. Other computer programs are designed to take some information and make projections with it. Some programs are designed to find patterns and features within information.

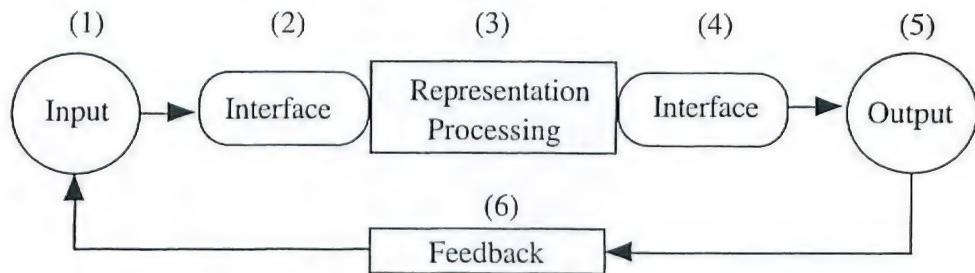
The same thing is going to be true of human strategies. As an analogy, cognitive strategies are the mental software used by the bio-computer of the brain. In a way, the most powerful personal computer in the world is the one that sits up between your ears. The problem with it is that it didn’t come with the user’s manual, and sometimes the software isn’t very “user friendly”. The goal of psychology, and in particular NLP, is to discover the “programming language” of the brain so we can get ours and others’ to do what we want them to more elegantly, effectively and ecologically. We can be ‘software wizards’ and encode in a new language some of the software used people who have learned to operate that computer very well.

Like a computer program, a strategy defines a process that is independent of the data or content being processed. For instance, the sequence of sensory functions used in a memory strategy may be applied to remember things of many different contents (phone numbers, names, spellings, faces, etc.). Likewise, the sequence of mental steps used in a decision making strategy may be applied to decisions of many different types.

The way each mental step is linked to the step that comes before it and the one that comes after it is an important feature of thought and learning. Using the exact same elements in a different sequence can completely change the resulting meaning. For example, the two phrases “*The cat chased the rat,*” and “*The rat chased the cat,*” use the same words but the sequence makes their meanings quite different. The same holds true for the sensory sequences involved in thought.

In the course of our lives, our representational systems, synesthesia patterns and language processes become organized together into the consistent sequences or strategies that make up our capabilities and personality. Even though we all start with basically the same potential in our brains, these potentials are shaped into different combinations and sequences. Strategy sequences are generally organized in a way that reflects the feedback loop through which information typically flows through a system. Information is (1) *input* to the system through (2) some *interface* mechanism that (3) passes

information to the core of the system. Information is *organized* and *processed* and then (4) *transformed* into (5) the system's *output*. This output effects the environment around the system in a way that produces (6) *feedback* which reenters the system as new input.



According to NLP, the great minds and leaders of history have achieved their greatness because they have managed to form particularly elegant and compelling strategies for operating effectively in the world.

## Working With Strategies

The ability of therapists, managers, teachers, consultants, lawyers, or “professional communicators” of any type, to identify the cognitive strategies of the individuals with whom they are working can be one of the most critical factors of their professional success. Because strategies are content independent, a person may use the same strategy sequence whether he or she is deciding what kind of car to buy, what to eat on a menu, which business proposal to accept, or which presidential candidate to vote for. Recognizing and taking into account such strategies can be a pivotal factor in succeeding to help people learn and change.

There are four fundamental aspects of working with strategies in NLP: Elicitation, Utilization, Design and Installation.

### Elicitation

Strategy elicitation is one of the fundamental skills of Neuro-Linguistic Programming. It involves defining, or *modeling* the particular mental steps that a person goes through in order to perform or accomplish some task. The most commonly used NLP strategy elicitation methods involve either (1) recalling and reliving a specific experience, or (2) carrying out a task which presupposes or triggers a particular strategy. To elicit a person's motivation strategy, for instance, the person could be asked to either recall and relive a time when he or she was particularly motivated to do something; or the person could be required to motivate himself or herself to do something on the spot.

Effective strategy elicitation also involves the ability to recognize and ‘read’ eye accessing cues and sensory specific language patterns in order to identify the specific steps of the strategy. Many patterns of behavior are characterized by ‘unconscious competence’. Most people are not aware of all the mental operations they go through in order to speak, make decisions, remember events, learn new skills etc. People tend to focus on *what* they are doing, and not upon the subtle mental processes by which they select and guide their actions. While this reduces the amount of conscious effort one has to put into one’s actions, it makes it difficult to recall and describe to others how one is thinking when one is performing or enacting a particular pattern of behavior. Furthermore, people often downplay critical steps in their own thinking process as being ‘trivial’ or ‘simple’ without realizing the significance of seemingly unimportant mental images, words or feelings.

Neuro-Linguistic Programming has identified a number of verbal and non-verbal indicators, such as eye movements and sensory predicates (see the *B.A.G.E.L Model*), that may be used as clues to uncover pieces of someone’s mental processes, with or without their conscious cooperation.

As the following example illustrates, people spontaneously combine eye movements, sensory predicates and other accessing cues (gestures, for example) as they go through a thinking process.



*I ask myself,  
"What do I need to do next?"*

*Then I picture the  
various possibilities... .*

*and choose the one  
that feels the best.*

Eliciting a strategy is similar to drawing: You make a general sketch **first**, then you add the details. You might start by simply asking, "What do you consider to be the specific steps in your own creative process? What, specifically, do you see, hear or feel in your mind and in what order?"

Another way to get a general sketch is to do is what is called a **contrastive analysis**. It is often much more difficult for someone to answer a question like "*How are you creative?*" than a question like "*Think of a time that you were really creative and then think of a time that you couldn't be but wanted to be. What's the difference between those two situations? What went on differently in your mind when you were able to be creative versus when you weren't?*"

By giving someone something to compare with, you get a much higher-quality answer. The **major differences** will pop out, i.e., what is different about them; and that's really what you're after. What you want to know is: *What was the difference that made the difference?*

Another general principle to effective elicitation is that of *similarities and differences of content*. On the one hand, you want to try to get examples of very similar content areas that match each other in all aspects but the outcome of the strategy. This way you can be sure the difference was due to the **strategy** alone and not the content. For example, asking somebody to contrast a time when they were able to be extremely creative in answering an essay question with a time when they got stuck answering an essay question, may give you more information about the *essence* of that person's creativity strategy than if you contrasted getting stuck on an essay question with a time they got stuck cooking or driving. This is because a good deal of "*noise*" and other variations are introduced by the differences in the content of the strategy if the subjects are very different.

Similarly, you may get higher quality information about the essence of a person's creativity strategy if you can find a contrast between essay questions on the same test (same day, same teacher, same subject, etc.) where the only difference was the person's ability to be creative. The less influences that are brought to bear by the differences in the content of the strategy the more you can be sure your focus is on the difference in the actual strategy alone.

On the other hand, contrasting examples of creativity that involve very different content areas and noticing what is the **same** about the strategies can also give you a great deal of information about the essence of creativity for that person. That is, if the person uses the **same** strategy to be creative when they are cooking that they use when they are coming up with a creative solution to a business problem then we know that it is a significant strategy.

Another important principle of elicitation is that a *behavioral example* of the strategy you are after will give you higher quality information than *talking about* an example. It's much easier to give a person a test and ask, "*which questions were easy for you and which ones were hard?*" than it is to say "*think of a test you took three years ago. What, specifically, did you do in your mind as you were answering those questions?*" That's more like '*Neuro-Linguistic Archeology!*' The information is going to be too coded in with all kinds of other "*noise*," introduced by the memories of the past three years. You want to get the highest signal and the least noise.

You will get higher quality information by **watching the person engaging in the activity** of writing an essay question than by asking them about one they have already written. If you want to find out about somebody's strategy for a certain academic subject give them some test questions, sit down and watch them. You will be able to **see their strategy as it happens**. Then right afterwards say,

"*Contrast for me now: which one was the easiest for you and which one was the most difficult? What's the difference between those?*" Then ask, "As you were answering the one that was easiest for you, what did you go through in your mind? What were you aware of?" What they might do at that point is to **look up and left** and say something like, "Gee, I don't know." In other words, what they've done is to stop and say, "I don't know." But they've just **behaviorally demonstrated** it for you. If you say to somebody "*Think of a test you took three years ago,*" and they look up and left and say, "*I can't remember,*" then you can't be sure you are not just getting a part of their memory strategy. But if you said "*Now you just went through this. What did you do in your mind?*", it's going to be a lot less memory strategy and more recapitulation of what they just went through.

So, optimally, you want to set up something that they can do right there -- high quality. Then you contrast: "*Which of these was most difficult?*" That makes the differences start to pop out. Then I might just ask, "*What specifically did you go through in your mind?*", and watch what they do again to make sure I see a repetition of the general pattern I think I have been observing.

Of course, it is not always possible to get ongoing behavioral examples. You should also keep in mind, however, that very often *people do what they are talking about*. That is, people will often reiterate what they did in a situation while they are telling you about it because they begin to reassess the strategy as well as the memory. For instance, it is common for people to become angry again as they tell you about a person whom they got into a fight with. So be sure to keep your eye out for patterns at all times.

If you have to rely on the memory of the person you're interviewing then you ask them to think of at least three different instances of creativity. This allows you to find the pattern that emerges. In this case you will be less concerned with the immediate details of the person's thinking strategy than the elements that are the same in all three examples.

Once you get done with these initial steps, you should have a basic idea, or sketch, of what their strategy is. With just a couple of simple questions, you can get a good idea of what the physiological and representational differences are between a successful and unsuccessful strategy. For instance, you might quickly discover that when the person is creative they *lean back move both of their hands, look up and right and are aware of making internal images*. In contrast, when they are stuck, they *tighten their shoulders, stop breathing, shift their eyes between down left and down right and are aware of vague critical internal voices*.

In order to get the details of the strategy you would explore the structure of the process a little bit more. To find the decision point I might say, "*When you've got the answer, when you are done, when you know you have the answer to that question, how, specifically, do you know it?*" It should be a lot easier for them to answer that question after I've done the general sketch than if you started out with it. Now that they've thought about it, now that you've had them go through a few times already you ask, "*How do you know when you have the answer?*" That is probably one of the most important parts of the strategy since it will identify their criteria for success.

And it is critical to remember that what the person **says** and what actually happened may be very different. A person may *look up, take a deep breath* and say, "*I saw that it was right.*" What they saw may have let them know it was right or it may have been a *feeling* that is so habitual that it seems more like "reality" than a feeling.

In general it always a better idea to *give more credence to the non-verbal response*. If someone takes a deep breath and leans back it indicates they probably made some sort of shift in their internal state. They may have felt or got some other physiological indication that let them know the answer. Perhaps they felt a shift from tension to relaxation. And that's how they **knew**, "*OK, that fits in there.*" Whenever you ask an elicitation question the primary issue for success is to know when to watch for the answer.

If you read the question off of a piece of paper and then look up at your subject, there's a good chance you may have already missed all of the important information already. *It's the unconscious, immediate reaction that is going to carry more information*. All the subject can do at a verbal level is to *interpret* their reactions *consciously*. That is, the person you ask the question of is going to go through the answer, and then they're going to try to put it in some words that they think **you** want to hear. For successful elicitation, however, you don't really care what they have to **say about** it. You just want to know what they actually **did**. So the timing of your observations are very important. As soon as you ask the question, for about *three or four seconds* -- that's what you want to watch. You don't want to sit there and, as they go through twenty thousand eye movements, keep track of them all. You want to get the ones that happen right at the critical time.

In so many studies that I've heard of, the researchers are getting someone's conscious opinion

about their thought processes and not their accessing cues.

Once again, the closer that you can get to an actual behavioral example, the better. That will save you from a lot of guess work. If you absolutely can't find a way to engage the person in the activity then pick the most recent experiences that you can, because those are going to be the ones that will elicit the information that you want with the least amount of noise from memory and interpretation.

So, to review, get a **behavioral demonstration** of the strategy or pick your example as near to the present as possible. **Contrast** this example with as **similar** an example you can find but where the **outcome was the opposite**. After you do the contrast and have the subject oriented ask, "*What did you do with the one that was successful? What, specifically, did you just go through in your mind?*" You may also want to **contrast** the strategy with as **different** an example you can find but where the **strategy was the same**.

These are all basic orientation questions and will give you a chance to watch the strategy go by a number of times. Remember, if it happens fast and you miss it the first time, don't panic. If it is really their strategy it will happen over and over and over again. It is the patterns that repeat that you are the most interested in anyway. By the time you've oriented your subject you are probably going to have seen the strategy go by two or three times, and will have had a chance to get a general opinion. **Then**, right after you set up the contrast say, "*Well, what did you just do in your mind?*", and watch them. You're not going to be particularly interested in what they say about it at this point. Typically, they're not going to give you the information you're looking for. For instance, you can probably bet they're not going to say, "*Well, I pictured this, and then I said this to myself, and I got this feeling with the picture, but it didn't look right yet, so I asked another question...*"

In fact, the purpose of a lot of the elicitation procedures is just to focus the subject down on this actual *fraction-of-a-second experience* that's really the key to the whole thing.

So then you ask, "*How did you know when you got the right answer?*" **Then** you are going to want to know: *was it a picture, sound, feeling?*

To start **detailing** the strategy it's usually easier to peg the **end** of a strategy than the beginning. If you ask "*When did you start being creative?*", it is typically more difficult to answer than: "*Now that you have done something creative, at what point did you know that you were successful?*"

Most people don't know where, when and how they started being creative for a given problem. Almost everyone, however, can identify when it was **finished**. You might be able to trace back influences on the process to years ago. But the *end is usually a definite point*. It's a little easier to pinpoint. When you're done, you know that you're done. Once you've answered the question, you know that that has to be the end of the strategy, when you've written down your answer. Now, where *really began*: that's up to question.

I use this "rule of thumb" — to start at the end — unless there's some reason to start somewhere else. If you are taking a test then the point at which you looked at the question is usually a good beginning point. But many strategies don't have such a definite beginning point.

Once you are at the end of the strategy you ask, "*What specifically did you see, hear or feel?*" Then you can simply ask, "*And what happened just before that?*" to get the details of the strategy **sequence** and **links**.

To elicit the **effect** of each of the strategy steps, you ask basic T.O.T.E. questions and watch for which of the cues you've observed thus far recur as they are answering or thinking of the answer. you have listed some examples below.

1. What are your *goals* when you are being creative?
  - a. What steps do you go through to select an idea?
    - 1) How, specifically, do you know when you have a good concept that you want to continue with?
    - 2) How do you sort good ideas from bad ideas?
2. What steps do you go through to *implement* your idea?
  - a. When and what kinds of constraints do you introduce as you are forming and implementing your idea?
  - b. Where are your go/no go points?
  - c. What parts of your experience or environment do you utilize in order to get to your goal?
3. What, specifically, do you use as *evidence* to know if you are making progress toward your goals?

4. When do you want *feedback*?
  - a. What kind?
  - b. From whom?
  
5. What *stops* you from being creative/productive?
  - a. How do you tell the difference between “procrastination” and “gestation”?
  
6. How do you respond if you run into *problems*?
  - a. Think of a time you were stuck and were able to break out of it. What did you do?
  
7. How do you protect yourself from *interruptions*? From *distractions*? From *criticism*?

Cognitive strategies are also typically founded upon several key beliefs, values and assumptions. For a strategy to be maximally effective, a person needs to hold these beliefs strongly. Thus, elicitation also involves identifying the relevant beliefs upon which a particular strategy is based.

### *Utilization*

Once you have elicited information about a person’s strategy, you may then *utilize* that information in order to influence or direct that person’s responses. One of the most effective ways of applying the information you have gathered about a person’s cognitive strategies is to *pace* or *match* his or her natural strategy sequence. The essence of utilization is that a person cannot *not* respond to his or her own processes for organizing his or her experience. It is therefore generally much quicker to work through the processes that the person has developed for himself or herself rather than try to impose your own strategies on that person. Individuals often have their own preferred idiosyncratic strategies for learning or thinking that may need to be ‘paced and lead’ in order for them to perform most effectively.

Pacing involves the ability of the communicator to incorporate the vocabulary and non-verbal patterns of an individual or group, and to be able to translate ideas into that vocabulary. It also involves the ability of the communicator to package his or her information in a form and sequence that is most compatible with the processing strategies of the other individual or group.

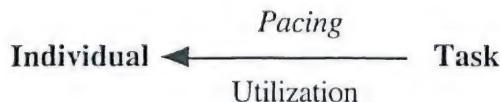
For example, consider the strategy of the person (cited earlier) who made decisions by: 1) asking questions (**A<sup>e</sup>**); 2) looking for (**V<sup>e</sup>**) or visualizing (**V<sup>i</sup>**) a series of possible solutions; 3) getting a feeling (**K<sup>i</sup>**) about each of these images; and choosing the one that feels the best:



Packaging your information in a form most compatible with this decision strategy might involve a presentation like, “I’m sure you have a lot of *questions to ask* (**A<sup>e</sup>**) about this project, and as you can *see* (**V<sup>e</sup>**) I’ve been *asking a lot of questions* myself (**A<sup>e</sup>**) and have really *looked hard* (**V<sup>e</sup> or V<sup>i</sup>**) for the answers. And I believe I can *show you* (**V<sup>e</sup>**) a solution which I’m sure you will *feel* (**K<sup>i</sup>**) is the most *solid* (**K<sup>i</sup>**) way to proceed.”

Because the vocabulary used in the presentation fits the natural progression of the individual’s strategy, it will be much easier for that individual to follow and understand. Furthermore, because the sequence matches that of the individual’s own decision strategy, the presentation is likely to be persuasive. The points of the presentation are not likely to encounter any significant resistance, because they fit the natural thinking process of the other person.

Other strategies, such as learning strategies, memory strategies and belief strategies can be ‘utilized’ in a similar manner. By adapting the way a particular task is presented or taught to fit the natural strategy and strengths of a particular person, the individual will be able to more rapidly comprehend and internalize the material.



## Utilization Involves Adapting the Task or Information to Fit the Natural Strategy and Strengths of the Individual

Another common NLP utilization method is known as *mapping across*. Mapping across is a type of ‘self-modeling’ in which the steps or elements of a strategy that are effective for one situation or task are analyzed and then applied in a completely different context. Because strategies are content independent, a strategy for creative cooking, for instance, could be utilized or “mapped across” to help the person be more creative in some other area, such as composing music, solving mathematical problems or new product development. Mapping across is typically done in conjunction with a *contrastive analysis*, in which processes and features of two strategies which produce different results are compared for similarities and differences. Certain characteristics of one strategy are then transferred to the other through NLP processes such as anchoring, verbal guidance, or by triggering them through the physiological accessing cues associated with them.

The ability to utilize cognitive strategies has tremendous relevance to interactions involving teacher training, sales, therapy, management, and any situation in which the packaging and transfer of information is important for communication, influence or performance.

### *Design*

Strategy design involves identifying the sequence of representational steps that will most effectively accomplish a particular task or reach a particular outcome. Strategies which are effective for achieving outcomes with respect to certain tasks may be inefficient for others. The task of taking a chemistry test for example, is generally most effectively achieved by a strategy involving internal visual and auditory recall of formulas and diagrams. This would be a very inefficient strategy to apply to the task of playing basketball, however, which requires much greater attention to external visual and kinesthetic experience.

Because certain strategies are more effective for particular tasks, if the key elements of those strategies can be identified, then they can be designed into procedures that are maximally effective for teaching and learning those tasks. The NLP Spelling Strategy is an example of this. This strategy was designed by modeling the natural thinking processes of good spellers and contrasting them with the mental operations of people who struggled with spelling. Good spellers, for instance, invariably visualize the correct spelling in their minds’ eyes. Less effective spellers use other strategies, such as “sounding out” the words (which can produce errors with words whose spellings do not follow phonetic rules). The same type of modeling and design process can be applied to many other cognitive tasks.

For instance, as you read this sentence you are using a strategy for taking these particular combinations of symbols and making meaning out of them for yourself. As you read these words you must first focus your attention to external visual ( $V^e$ ) experience in order to see the words written before you. You then turn your attention inward to make sense of the images that your eye reports. You may be hearing your own voice in your head ( $A^i_d$ ) saying each word that you see. Perhaps you are making an internal visual image ( $V^i$ ) of yourself as you read, or of the information on the previous page. Or perhaps these visual patterns have accessed in you some feelings of interest or recognition ( $K^i$ ).

Those of you who have an effective strategy for achieving the outcome of reading rapidly, or speed reading, will probably be aware that, for the most part, you do not repeat the words that you see before you in your head to yourself but move directly on to other forms of internal experience by which you make sense of the written words. The information that you get by repeating the words to yourself is in one sense redundant, since you have already gathered the information by looking at the words; and the process of saying each word to yourself adds in another step that takes much longer than if you were only to scan the words visually.

On the other hand, if you only visually scanned poetry, and did not pronounce or hear the words in some way, you would probably miss a great deal of its tonal texture and beauty.

One important aspect of considering behavior in terms of strategies is that one quickly realizes that it is the form of the processing strategy that determines most of the efficiency and effectiveness that one has with a particular task, rather than the amount of time one has spent doing the task. For instance, you may have been reading for over forty years and have read thousands of books, but if your strategy for reading is such that you say the words to yourself in your head, you may be a slower and less efficient reader than someone who has only a fraction of the experience that you have had with reading but has a more streamlined strategy.

The same is true for the tasks involved in being a good manager, consultant, researcher, engineer, etc. It is the strategy that you use to make sense of the situations that are offered to you that determine your effectiveness at the task. A manager who continually responds to the images in his or her head of how things are “supposed” to look may not be able to pick up and respond to important visual cues that are in his or her immediate sensory environment.

Any strategy can be either an asset or a limitation, depending on how flexible you are able to be with respect to that strategy. The well-known “Peter principle” is the result of the fact that many individuals, who have or are able to develop a very effective strategy for one set of tasks, do not have the flexibility to be able to adapt their strategies to a new set of tasks that are presented to them when they are promoted.

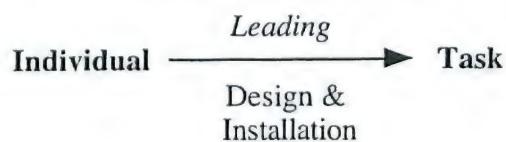
Thus, strategy design has to do with continually optimizing and updating the strategies one is using to accomplish tasks and perform effectively.

One guideline for efficient strategy design, for instance, is the “elegance” principle. According to this principle, when possible, it is best to *choose the strategy that has the fewest steps*. A strategy that can accomplish the same result with fewer operations is generally more ‘cost effective’ with respect to time and effort.

Strategy design also involves creating a mental map that will secure a particular outcome when there is no other appropriate cognitive strategy immediately available. This requires that a strategy be developed which contains all of the necessary tests and operations needed to guide the sequence of behavior and to gather the information and feedback required to obtain the desired outcome. This is known as “artificial design,” and involves a more analytical and experimental approach (using trial and error) than utilizing a strategy that already exists.

### *Installation*

Installation is the purposeful, step-by-step procedure followed in order to help someone internalize a new cognitive strategy. The design and installation of a new strategy is a complementary process of eliciting and utilizing a person’s existing strategies. Whereas utilization involves adapting a particular task to fit a person’s natural strategies and representational strengths, design and installation involve helping a person to evolve and develop new mental maps and strategies.



### **Design and Installation Involve Helping a Person to Develop a New Strategy that is Best Suited for a Particular Task**

There are two basic ways to install a strategy sequence: (1) through *anchoring* and inserting the steps of the strategy into a person’s thought process, and (2) through *rehearsing* the strategy sequence (a form of self-anchoring, also known as “future pacing”). Anchoring can involve setting up particular cues which trigger specific responses, or using methods like spatial sorting to connect cognitive processes to specific physical locations. Rehearsal is facilitated by incorporating accessing cues (such as eye movements) as part of the process of practicing the strategy sequence. Although anchoring and rehearsal may be applied separately, they are best utilized in conjunction with one another—firing off the anchors you have established as you “walk” through the strategy.

The goal of installation is to make the strategy you have designed function as naturally and automatically as the existing strategy you are replacing. This is largely a function of its ecological “fit” with respect to the rest of the person’s inner maps and models. If you try to install a strategy that is

somehow inappropriate or maladaptive you will encounter interference phenomena such as resistance to the strategy or “sabotage” of the installation process. To avoid this, it is important to make sure that the strategy is “well-formed.” NLP provides a number of principles and conditions which help to make sure that strategies and their outcomes are well-formed and ecological.

The process of *Reframing* is a useful method to help address interferences and insure the ecology of installing a new strategy. Reframing identifies and acknowledges the positive intentions and purposes of resistance and any useful functions served by previously existing strategies and mental maps. Reframing is often a necessary procedure in order to replace one strategy with another.

Strategies are also typically founded upon several key beliefs, values and assumptions. For a strategy to maximally effective, a person needs to hold these beliefs strongly. If those beliefs are not in place, or there is incongruence with respect to those beliefs, these doubts and conflicts will arise when person attempts to install the strategy. Thus, a good way to begin installing any strategy is to first review the key beliefs upon which it is based. If there are any doubts relating to these beliefs, it is valuable to first use some of the other NLP belief techniques to address the doubts, before continuing with the rest of the strategy.

## Richard Moss' Mandala of Being™

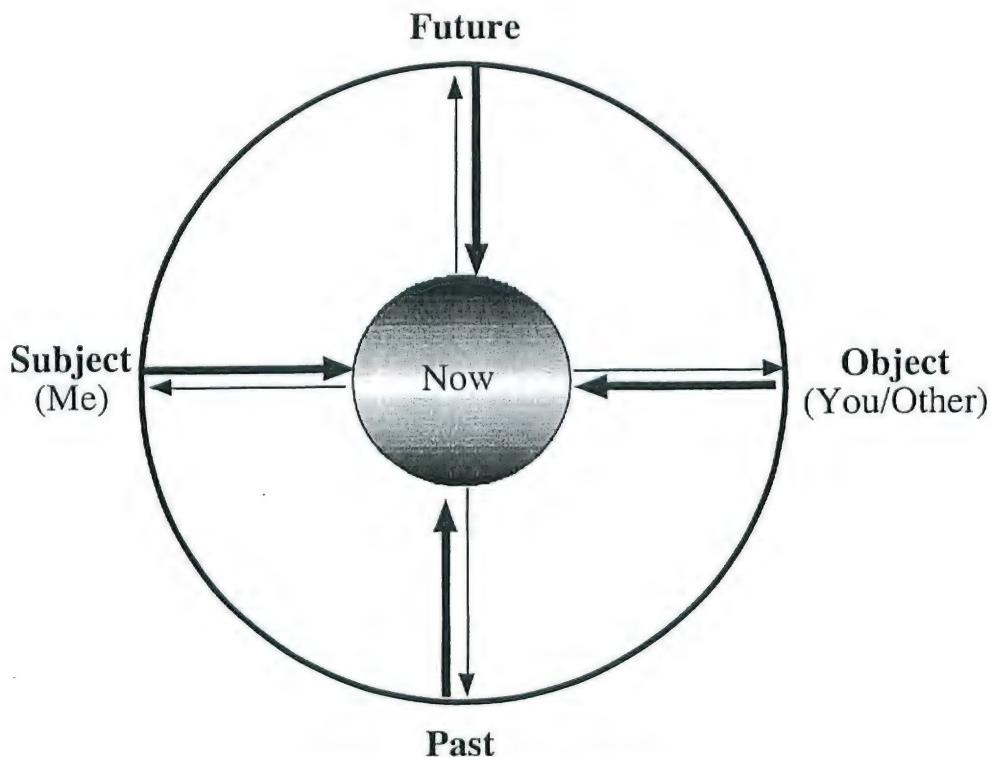
The Mandala of Being™, developed by transformational teacher Dr. Richard Moss (2007), is both a map and an experiential process that explores our relationship to the present moment. From the perspective of Identity coaching, the Mandala is a model and a tool to help people identify and release limiting beliefs and connect more fully with the deeper essence of their beings. According to the Mandala, we constantly leave the present into limiting beliefs or “stories” about the past, the future, ourselves and others. These stories keep us from experiencing and living our full potential, creating a distorted or impoverished map of the world. As Richard points out, these stories generally cover up difficult feelings we don't know how to be with.

The process described by the Mandala teaches us to identify where we have gone when our minds have left the present moment, to explore the feelings beneath the “stories”, and to return to the present and be with whatever feeling is there from a deeper place of being present, centered and grounded in our bodies. Thus we learn to keep our channel open and to have greater access to the potential expressions of our superposition.

A mandala is a symbolic representation of consciousness, with a strong orientation toward the center. In the Mandala of Being™, the center represents the present moment, the “now of ourselves”. Our awareness and our attention, however, can go into spaces that are elsewhere than the present moment. When our mind and our bodies are not in the same place, we tend to be less present, less resourceful and less able to respond to what life brings to us in each moment.

As a map, the Mandala of Being™ shows us where we go when we are not in the present and connected with our center, and teaches us a means for returning to ourselves. This map suggests that our attention and awareness can leave the present in four principal directions:

- into ideas or “stories” about the past,
- into beliefs or “stories” about the future,
- into beliefs or “stories” about others (including ideas, objects,),
- into ideas or “stories” about ourselves (internal dialogue that takes us out of the present).



Richard Moss' Mandala of Being™

In the context of the Mandala, “stories” are any thoughts or beliefs we have that reduce our sense of fullness and our freedom to act authentically. Every thought we have about the future, the past, ourselves or others creates a physiological response and an inner state. Working with the Mandala helps us to become aware of the constant stream of thinking that affects us moment by moment, and to identify the effect of our thoughts on our state of being. Stories often come in the form of limiting beliefs, both conscious and unconscious.

To find out more about Richard's work and programs please see:

<http://www.richardmoss.com> (English)

<http://www.richardmosseurope.com> (French)

### **Using the Mandala of Being™ for Working with Stories and Beliefs**

1. Start in the center of the Mandala. Center yourself and enter your zone.
2. Identify the story or belief that take you out of being present and in your zone.
3. move to the edge of the Mandala to the position that most fits the story.
4. Explore the impact that thinking those thoughts has on you (“taste the poison”). What sensations do they produce.
5. Return to the center of the Mandala and go fully back into your zone. Explore the question, “Who am I and how am I in exactly the same life situation if I do not think those thoughts?”
6. Go back out to the location of the story and think the thoughts again. What is different?
7. Identify the opposite or complementary thoughts (the “deeper truth”).
8. Return to the center of the Mandala with both sets of thoughts. Center yourself and let them both go “into the field”.

## Guidelines for Using Copyrighted Materials

We believe that it is important for the credibility of our field that trainers, developers and practitioners honor the copyrights on printed materials. It is a way of demonstrating integrity and showing respect for other people's work. We understand people's desire for as much information as possible, but it is important to get it in an ecological way that doesn't infringe upon the rights of others. The following guidelines regarding duplicating or reusing copyrighted materials follows the standard academic practices with respect to copyrights and intellectual property.

### *Standard Guidelines for Copyrighted Materials*

1. If you are not directly quoting or reproducing someone else's printed material, but are simply referring to it or talking about it, you do not need to request permission. In this case, you are not actually "copying" anything, but rather expressing your own ideas about someone else's work. Instead, you want to cite the sources from which you are drawing the ideas you are teaching about or discussing. (It is more an issue of giving appropriate credit, so that you don't appear to be plagiarizing someone else's ideas, than it is an issue of copyrights specifically.)

Crediting a source is typically done by referring to the name(s) of the author(s) and the date of the work you are drawing from in the body of your publication, and then including a full reference to the work in a 'bibliography' or 'references' section of your manual, book or publication.

Consider the following example, from *Tools for Dreamers* (Dilts, Epstein & Dilts, 1993, pp. 23-24), referring to the T.O.T.E. model:

"A mental strategy is typically organized into a basic feedback loop called a T.O.T.E. (Miller, Gallanter & Pribram, 1960). The letters **T.O.T.E.** stand for *Test-Operate-Test-Exit*. The T.O.T.E. concept maintains that all mental and behavioral programs revolve around having a *fixed goal* and a *variable means to achieve that goal*. This model indicates that, as we think, we set goals in our mind (consciously or unconsciously) and develop a TEST for when that goal has been achieved. If that goal is not achieved we OPERATE to change something or do something to get closer to our goal. When our TEST criteria have been satisfied we then EXIT on to the next step."

Since there is no direct quotation of Miller, Gallanter and Pribram's work, it has been cited parenthetically. In the back of the book is a bibliography including a full reference their work in which they offer their own definition and description of the T.O.T.E. This typically includes: title of publication, author, publisher, city, state or country, and date of publication:

*Plans and the Structure of Behavior*, Miller, G., Galanter, E., and Pribram, K., Henry Holt & Co., Inc., 1960.

2. If you are making a direct quotation, reproduction or translation of less than half a page, you customarily do not need to request permission from the author or publisher, but should cite the specific source from which the material is quoted, including the page number(s) if possible.

As an example, consider the following discussion of "congruence," taken from the 1998 NLP 100A Practitioner manual (p.46):

According to Webster's Dictionary, "congruence" in a system is "marked by inner harmony, coherence, or agreement of its parts." In NLP, a state of congruence is a result of all of a person's internal beliefs, strategies and behaviors being in full agreement and oriented toward securing a desired outcome. For this reason, congruence is considered an essential resource state in NLP. The notion of congruence has been fundamental to NLP since its inception.

In *The Structure of Magic Volume II* (1976), Grinder and Bandler defined congruence in the following way:

*The term 'congruency' is used to describe a situation in which the person  
Guidelines for Using Copyrighted Material – 1*

*communicating has aligned all of his output channels so that each of them is representing, carrying or conveying the same or a compatible message. When all of a person's output channels (body posture and movements, voice tonality and tempo, words) are representing the same or compatible messages, the person is said to be congruent. Other people's experience of a congruent human being is usually described in terms of that person's having personal presence, knowing what he is talking about, being charismatic, dynamic and a host of other superlatives.* (p. 45)

Congruence may be contrasted with "incongruence," which refers to a state of inner conflict resulting from inner struggle, typically at the level of beliefs or identity. These struggles are usually at a deeper level and are less conscious than typical cognitive activities. For this reason, the factors influencing states of congruence or incongruence are often outside of awareness. Thus, maintaining a state of congruency involves learning to pay attention to and interpret signals from one's unconscious mind.

Again, in the back of the practitioner booklet is bibliography including a full reference for *The Structure of Magic*:

***The Structure of Magic Vol. II,*** Grinder, J. and Bandler, R.; Science and Behavior Books, Palo Alto, California, 1976.

3. If you are making a direct quotation, translation or reproduction of half a page or more (including graphics), you should request permission from the author or publisher. In addition to citing the specific source from which the material is quoted, you should include a copyright notice referring to the author or publisher and the words "reprinted with permission" (provided you have received that permission).

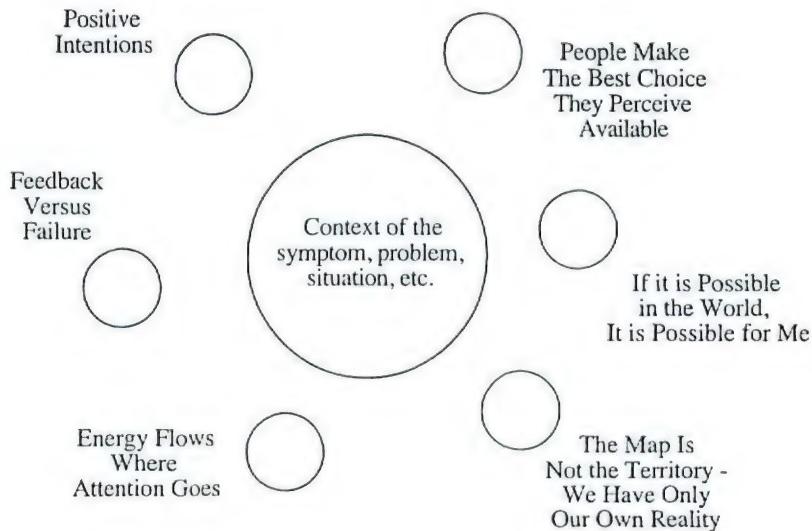
The following is an example from the Pattern of the Month section of my web page on the Internet. My article on *Operationalizing NLP Presuppositions* includes the following description:

### **NLP Presuppositions Exercise**

The following exercise, designed by Tim Hallbom and Suzi Smith, is another way to operationalize NLP presuppositions with respect to a specific symptom, situation or problem. It involves establishing reference experiences for each presupposition and then transferring them into a particular context in which you would like to experience them more strongly.

First, lay out a space for the problem context or situation. Then arrange a series of locations, representing various NLP presuppositions, around the problem situation.

1. Standing in the context space, access the symptom or problem state, and the context in which it occurs to create an anchor.
2. Step into each presupposition space, accessing and anchoring the idea, then look at yourself in the problem context (disassociated), through the filters of the presupposition.
3. Access the presupposition fully, then step into the context space, adding the presupposition.
4. Continue around the circle until all spaces have been accessed and integrated.



*(Copyright © 1995-1997 by Tim Hallbom and Suzi Smith. Reprinted with permission.)*

In this case, no specific reference has been made to another publication, because the exercise has not yet been published in book or other major publication. This reference would be added, and included in the bibliography of the manual, when such a source was published.

In general, If you are going to make a substantial quotation of content from somebody's work, it is good practice to get their approval ahead of time, such as a signed letter of release. When asking for permission to use copyrighted material, you should furnish the following information:

1. The pages you want to use, titles, and/or page numbers in a specific publication.
2. The group or publication that will be receiving the information.
3. Where and when you will be using the materials.
4. The number of copies you want to make.

The publisher or author may request a nominal fee for some reproduction, depending on how the material is to be used.

The following page provides an example of a copyright request form.

## **Copyrighted Materials Request Form**

A signed authorization is required each time you want to use copyrighted materials. To request to reproduce copyrighted materials, fill out the form below and send it to the above address. Please limit your request to a small portion of any one publication, and submit your request at least one month before you need an answer.

Please provide the following information:

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Address Information \_\_\_\_\_

Telephone \_\_\_\_\_

Title of publication from which you want to copy pages \_\_\_\_\_

Page number or numbers of the material you plan to distribute \_\_\_\_\_

(If it is more convenient, you may attach copies of the material you want to reproduce to this request form. You have our permission to make a copy for this purpose.)

To whom will you distribute this material? \_\_\_\_\_

Where will you distribute this material? \_\_\_\_\_

When will you distribute this material? \_\_\_\_\_

Approximately what percentage of your publication will this material provide? \_\_\_\_\_

How many copies will you make of each page? \_\_\_\_\_ Total number of copies to be made: \_\_\_\_\_

If your request is approved, the copyright notice referencing the author must appear on the bottom of each page. You can add "Reproduced with permission of the author," after receiving signed authorization.

(If this material is more than 10% of your publication, please send a copy of your whole handout or publication in which you intend to use the material.)

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\_\_\_\_\_  
Date: \_\_\_\_\_

# Intellectual Property and NLP

by

Robert B. Dilts

There is currently a great deal of ignorance and confusion about intellectual property in the NLP field. This ignorance has created a high degree of paranoia on one hand, and rampant disregard for the rights of others on the other hand. The purpose of this paper is to provide an overview of some of the basic intellectual property issues relevant to NLP and to propose some ways the issue of intellectual property may be acknowledged and addressed within the field of NLP.

## Certification Versus Authorization

One general problem area relating to intellectual property is that of certification. Webster's Dictionary defines a "certificate" as, "a document issued by a school, a state agency, or a professional organization certifying that one has satisfactorily completed a course of studies, has passed a qualifying examination, or has attained professional standing in a given field and may officially practice or hold a position in that field."

NLP organizations offer a variety of certifications which relate to different aspects of this definition. This in itself can create some confusion about the implications of a particular certification. A *certificate of completion* merely states that "one has satisfactorily completed a course of studies." Any organization or institute can offer such certification. A certificate issued as the result of an assessment or *qualifying examination* is a statement of skill. It is a symbol of what one has learned and is able to do behaviorally. Again, so long as there are clear assessment procedures, practically any organization or institution can offer such a certificate. A *professional certification* that asserts someone "has attained professional standing in a given field and may officially practice or hold a position in that field" is a little more tricky in that the certifying organization or school needs to have the appropriate professional position or reputation to grant a person rights to "officially practice" or "hold a position" in a field.

Beyond that, it is important to distinguish between "certification" and "authorization." Certification has to do with a person's skill and their ability to practice in a field. Authorization has to do with the permission to use intellectual property. Authorization involves intellectual property rights and ownership. With respect to training, for example, certification relates to a person's skill as a trainer. Authorization relates to the rights to use material related to the content of a training.

NLP models, techniques and skills may be applied to the 'process' of training or presenting, or offered as the 'product' of a training or presentation. Mastering the applications of NLP to the *process* of training or presenting is what trainer "certification" is about. Selling NLP models and techniques as the *product* of a particular training or presentation relates to "authorization." Attesting to the fact that someone has demonstrated proficiency and understanding as a trainer is different than authorizing that person to copy and sell intellectual property.

A "certified" NLP Trainer is not automatically "authorized" to use particular intellectual property (i.e., copyrighted material or trademarks) without the authorization of the owner of that material. One can only give another person permission to use intellectual properties that one has rights to.

To make an obvious example, the fact that someone has been certified as an NLP Trainer by a particular institute does *not* authorize that person to make copies of books, manuals, tapes and other materials that are not the property of that institute. The certification is simply an assertion by that institute that the individual has demonstrated training skills according to whatever standards and assessment procedures have been established by that institute.

No NLP trainer, association, society or institute automatically has the rights to materials developed by a particular individual in the field, unless some type of specific licensing arrangement has been made. To understand this point better, it is important to look more closely at the issue of intellectual property rights.

## Copyrights

The two areas of intellectual property that have most relevance to NLP are copyrights and trademarks. In the United States, copyright law is derived from the US Constitution. The same section of the Constitution that provides for patents gives Congress the power to "promote the progress of science and the useful arts by securing to authors, for limited times, the exclusive right to their writings". Copyright law was basically established to protect writings, but has been expanded to include other expressions of ideas. A book, for instance, is copyrightable. So are photographs, drawings, architects' drawings, records and music. You can also secure copyrights for works of art, paintings and statuary, maps and computer programs. You can even copyright reproductions of works of art. They are all expressions of ideas. *You cannot copyright an idea*, and you *cannot patent an idea*. You can patent a specific article of manufacture based on an idea, and you can get a copyright on a *specific rendition of an idea*.

This is a fundamental distinction that relates to what have become known as "NeuroLogical Levels" in NLP. Copyrights, patents and other intellectual property rights relate primarily to 'environmental level' products, and extend to specific behaviors (such as "performance rights") in some cases. "Property" relates to something concrete and tangible. Processes at the level of capabilities, beliefs, values and identity cannot be intellectual "property."

Intellectual property laws relate to dynamics which function at a particular level, and the rules which apply to one level do not apply on others. As President Thomas Jefferson pointed out, "If two people get together and exchange a dollar, they each walk away with a dollar. If two people get together and exchange an idea, on the other hand, they both walk away with two ideas." 'Dollars' are at the level of concrete, environment. 'Ideas' are at the level of capabilities and beliefs.

The distinction between ideas and their expression is important in order to understand how copyrights work. For example, if someone were to write a history of the City of San Francisco, that person could copyright his or her book on the history of San Francisco. That would not prevent someone else from getting the same idea and writing a history of San Francisco. The facts that are involved would have to be the same. If someone has written a history of San Francisco and copyrighted it, then he or she is protected from someone else coming in and taking that particular work, copying, publishing and selling it as their own. But it would not stop someone else from writing his or her own history of San Francisco.

One big question, of course, is how close can someone be to a book or a computer program without infringing on it? Could someone change a few lines or have exactly the same structure and just paraphrase the sentences? Copyright infringement of written works can sometimes be difficult to demonstrate. It involves looking at specific paragraphs and sentences. You have to look at all the elements that make up the work and see how much of it is similar.

In order to get a copyright you have to create something new and original. You may well be able to get a copyright on your arrangement of somebody else's song, for instance -- to the extent that you added something else to it. *That doesn't mean that you have the right to use it*. If you make a unique variation of someone else's work, you must still respect the other person's rights in his or her original work. On the other hand, the original composer does not automatically have the right to the unique arrangement you have created either.

The issue of intellectual property rights with respect to NLP can be just as complicated. In some ways, in fact, NLP is probably most similar to music relation to intellectual property rights. With music, for instance, you can copyright the underlying musical composition. You can copyright the specific printed sheet music that is sold to the public. You can copyright a record that is made of someone singing that particular song. So there are three different copyrights you can get on that one underlying composition. All of them based on specific renditions of the musical idea.

Most of the issues with respect to intellectual property and NLP arise in reference to seminars. There are a number of rights related to giving seminars. There are "copyrights, there are the so-called "performance rights," and there are "unfair competition rights."

The current US copyright law gives you a copyright in your work as soon as you reduce it to some concrete form. As soon as you've put the ideas down on paper, you immediately have rights in that work, whether you have placed a copyright notice on it or not. If a few copies are distributed -- let's say you send a few copies of an article out to publishers to see if they're interested in publishing it -- you have not lost your right to copyright it. In fact, the copyright law provides for registration for unpublished works. You could take the copy of your work and go down and make a photocopy of it

and send it to the Copyright Office and you could register it, in unpublished form. And you would have a copyright in the work.

The copyright notice is a "C" in a circle - © - the name of the person claiming the copyright, and the year in which it is published. A typical example of a copyright notice would look something like:

*Copyright © 1997 by Meta Muddle Associates. All rights reserved. No part of this publication may be reproduced or transmitted in any form by any means, electronic or mechanical, including photocopying and recording, or by any information storage or retrieval system, without permission in writing from the author or publisher.*

The typical length of a copyright is based on the author's life plus fifty years. When you file the application for registration, you include your birth date which becomes an essential feature of the copyright coverage. (You can't sue for infringement of copyright until you have registered the copyright with the Copyright Office.)

If it's a "work for hire," then the copyright is for seventy-five years from the date of publication. "Work for hire" is where the author is hired to produce the work. Say Walt Disney Studios hires someone to write a story for a movie, and that work is produced as a result of their being hired. That would be a work for hire, and the life would be seventy-five years.

In addition to copyrights in manuals and handouts, if the seminar is recorded, the presenter can copyright the tapes, so long as what he or she is presenting is original. The presenter could prevent someone from taking the tape and making an essentially identical performance of the seminar. Of course, the tape could be used as the basis for a book, and a person could copyright the book. He or she would also have rights in any translations made from tapes or books.

Again, remember the distinction between ideas and their expression. When someone has been to an NLP training, that person has the right to use the ideas that he or she has learned with his or her clients. The person does not have the right duplicate and distribute copyrighted material used or received during the training unless he or she has obtained permission or authorization from the author or publisher of that material.

### *Fair Use*

Under the current US copyright laws, there is a *fair use* doctrine. It's always been possible to quote from somebody's copyrighted work as long as you show that it's their copyright and that you contact the copyright owner and tell them you're quoting from their book. You obviously can't take a best seller and then say, "As they said in Gone With The Wind..." and then repeat the entire book. But you can pick certain pieces out of a book. It's considered a "fair use" as long as you haven't taken the entire work and used it for your own purposes. If you are using it as an illustration of some sort, as part of a much larger work, it is considered a fair use.

Anybody can list anybody's books in a bibliography and say "this paper is based in part on ...." The person who has published the book under that name has no objection he can make to the fact that you have used his book in preparing your paper. Mentioning it is like mentioning the name of a public figure. Newspapers do it all the time. If you do something noteworthy, they can tell: it's not a violation of your right of privacy to report that fact that you climbed the side of the Bank of America building to the top and were arrested by the police. Whenever you've done anything that's noteworthy, such as publishing a book, that item is a fact that can be used. So a bibliography is no problem so far as listing the names.

You would get into a problem if you had an appendix and in the appendix you essentially reprinted somebody's doctor's thesis or a chapter out of somebody's book without their permission. Then you're getting into copyright infringement.

Plagiarism, of course, is copyright infringement. Plagiarism involves presenting someone else's intellectual property as your own. Sometimes this is done unintentionally, when a person fails to cite the sources of material that he or she is using.

In general, If you're going to make a quotation of content from somebody's work, it is good practice to get their approval ahead of time, such as a signed letter of release. When asking for permission to use copyrighted material, you should furnish the following information:

- 1.The pages you want to use, titles, and/or page numbers in a specific publication.
2. The group or publication that will be receiving the information.

3. Where and when you will be using the materials.
4. The number of copies you want to make.

## Trademarks

Copyrights are not the same as trademarks, although people sometimes confuse the two. A "Trademark" essentially relates to the name or logo of a particular *trade*. You cannot copyright a name, short slogan or a trademark. Copyrights are reserved for expression of ideas, such as books, photographs, records, drawings, etc. But a name that distinguishes one company from another is not copyrightable. Instead, you register trademark rights in the name relating to a trade. To claim a trademark, you would place the letters "TM" after the name. (You cannot use the "R" in a circle until you have actually registered the name with the Patent Office.)

In the U.S. you register a name as a trademark either with the state or federally. Every state in the union will register trademarks. They will register the name of your company or the name you sell a product under. In the state of California, you could claim exclusive rights in a name and you could register it with the Secretary of State. If you want to register the name federally, then you have to go to the Patent Office in Washington and register it. You cannot register a name federally until you have actually engaged in interstate commerce.

There is currently a great deal of confusion relating to the difference between NLP as 'field' and NLP as a 'trade'. A 'trade'-mark only extends to a trade. The problem is, NLP is both a field and has become a trade, which has created a lot of misunderstanding about the nature of NLP trainings. This is probably one of the most important issues for the NLP community to clearly sort out.

Teaching people NLP for educational purposes is different than involving them in a vocation or trade. Unless the participants of an organization's trainings sign a statement saying, "*The undersigned clearly understands that the education being provided is solely for avocational / recreational purposes and not to provide training for employment. Such education is being pursued for personal entertainment, recreation, individual edification or as a hobby,*" that training could be considered vocational, or part of a "trade." As such it would come under various governmental laws and regulations that are different than for education alone.

The generic use of the letters "NLP" may indeed indicate the name of a "field," but the use of "NLP" to identify a professional certification or licensing program may relate to a trade.

## Some Ideas to Address Intellectual Property Rights in NLP

The following are some suggestions about possible ways the field of NLP might address some of the issues raised in this paper. One possible way to deal fairly with intellectual property in NLP could be to set up a **Copyrighted Materials Distribution Center**, where each author or publisher can set their own terms for how to sell or distribute their materials, much like the music business does with songs.

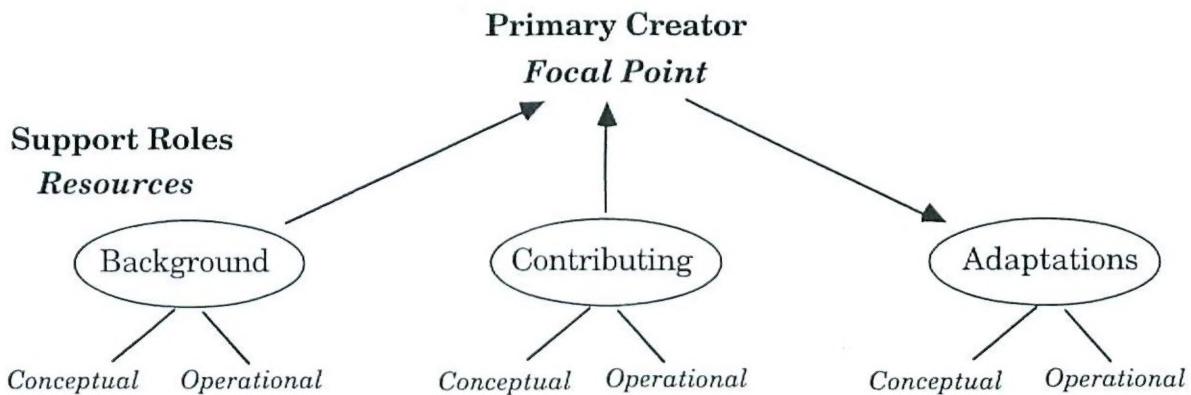
### Credit History

One difficulty in giving proper credit arises when an idea, or expression of an idea, is the result of group effort. (As Isaac Newton said when asked about his great discoveries in physics, "I was merely standing on the shoulders of giants.") Unlike other creative fields, like the music and film industries, NLP has not yet established conventions for crediting the people involved in creative group efforts. Films acknowledge not only the actors, but the directors, producers, screenwriters, editors, special effects creators, etc., who are all key parts of making a successful movie. NLP needs to establish a clear set of roles relating to the types of contributions which might be made with respect to NLP developments. There is a kind of "credit karma" that comes from acknowledging the contributions of others. When you give credit, you get back credibility.

There are a number of different elements in the creation and development of something, whether it be an object, theory, technique or idea. First of all, most products of creation have both a conceptual and operational side. The conceptual elements are the ideas that serve as the theoretical foundation of the product. The operational elements have to do with the implementation of ideas.

In terms of the conceptual and operational development, there are a number of basic roles. There i

1) the primary creator role which typically serves as the ‘focal point’ for the development. Then there are various support roles including 2) individual who have the conceptual or operational background, 3 ongoing contributors who help to test and refine concepts or operations, and 4) those who make further adaptations and refinements of the material.



For example, while Robert Dilts served as the ‘focal point’ for the development of a number of techniques and formats such as Reimprinting, Failure into Feedback, Belief Integration and Logical Level Alignment, there were many other people to be acknowledged for their support roles.

The technique of Reimprinting, for instance had both a conceptual and an operational history. Conceptually, Reimprinting is drawn from the background concept of “Imprinting” of Konrad Lorenz, which was extended to “re-imprinting” by Timothy Leary. It is also conceptually supported by Sigmund Freud’s ideas from his *Studies in Hysteria*, and the family systems work of Virginia Satir. Operationally, however, Reimprinting is drawn primarily from the *Change Personal History* technique of NLP developed by Richard Bandler and John Grinder.

Contributing support is different than background support in that it comes during the formation and “beta testing” of a process. For instance, the physicalization of the time-line, and spatial sorting of “significant others,” as part of Reimprinting technique came from a series of discussions with Judith DeLozier and John Grinder and a resulting set of seminars Dilts did with Grinder, called *Syntax*. Other incidental conceptual and operational support came from Dilts’ colleague Todd Epstein, as the technique became formalized.

Adaptations relate to conceptual and operational refinements or improvements on a process, model or technique once it has been established. The “Forgiveness Pattern” by Tim Hallbom and Suzi Smith, for example, represents a significant, creative variation on Reimprinting, allowing someone to work with significant others without the need for working with a time line.

The Failure into Feedback technique is primarily an extension of the work on accessing cues and cognitive strategies begun in the early days of NLP and described in the book *Neuro-Linguistic Programming Vol. I*. The innovative relational aspects of the process, however, were stimulated by the work of Max Wertheimer and his colleagues in the area of *Gestalt Psychology*.

The Belief Integration process draws operationally from a combination of the NLP techniques of the *Visual Squash* and *Reframing*. Conceptually, it has been heavily influenced by the work of Fritz Perls and Virginia Satir.

On a fundamental conceptual level, the notion of Logical Levels in belief change is drawn from Gregory Bateson’s applications of logical levels in his studies of systems and schizophrenia. And much of the inspiration for the methods of applying these ideas was derived from the innovative work of Milton H. Erickson M.D.

These suggestions are only the beginning of an important dialogue that needs to be continued among the key innovators and developers in the NLP field. It is only when these issues have been sorted out that we will truly begin to have credibility as a field.